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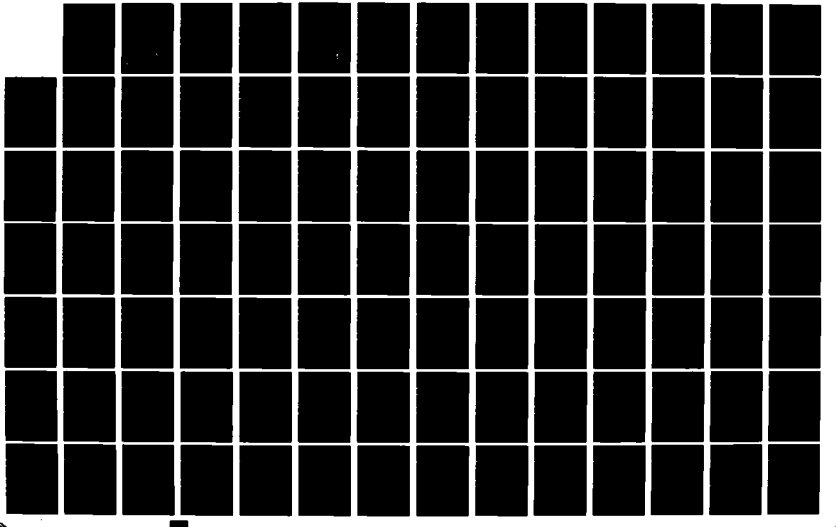

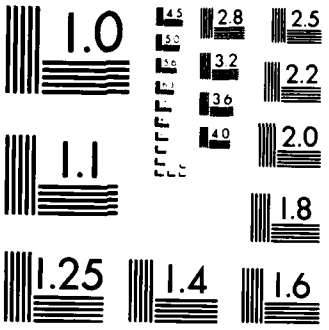

THE INTEGRATED LIBRARY SYSTEM
DESIGN CONCEPTS FOR
A COMPLETE SERIALS CONTROL SUBSYSTEM

Presented to:

The Pentagon Library
The Pentagon
Washington, DC
20310

Prepared by:

Online Computer Systems, Inc.
20251 Century Blvd.
Germantown, MD
20874

August 20, 1984

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The Integrated Library System (ILS) is a minicomputer-based automated library system that supports technical processing, retrieval, and bibliographic management activities utilizing a single master bibliographic file that is capable of supporting all library functions. This document presents the design concepts for the complete serials control subsystem which will include capabilities for check-in of serials and continuations, expansion of the current serials holding record, claims of missing issues, routing of individual issues,

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Block 20, continued

binding control, notice generation, and a centralized vendor file. All file structure is MARC compatible.

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THE INTEGRATED LIBRARY SYSTEM:
DESIGN CONCEPTS FOR
A COMPLETE SERIALS CONTROL SUBSYSTEM

The Integrated Library System (ILS), originally design and developed by the National Library of Medicine's Lister Hill Center, is a state-of-the-art minicomputer based library automation package. It is fully integrated by both design and function. The serials control subsystem is one of the last major processing units to be developed. This document presents design concepts and detail which will be followed by Online Computer Systems, Inc. to implement the serials subsystem for the Pentagon Library. The reader is referred to a previous document, THE INTEGRATED LIBRARY SYSTEM: FUNCTIONAL REQUIREMENTS FOR A COMPLETE SERIALS CONTROL SUBSYSTEM, for the statement of scope and requirements of the subsystem.

The new serials control subsystem will provide the following functional capabilities:

- Expansion of the serials holding record
  - User-defined enumeration and chronology for each title
  - Multiple formats for each title
  - Parameterized claiming and binding per title
  - Generalized date formats
- Check-in of serial issues
  - Elimination of ILS scratch files
  - Single stroke check-in, if at all possible
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All of the above points were addressed in the previous requirements document. This document details the design issues and concepts involved in each major processing area.

One of the basic underlying assumptions of our design work is that the new file structures should be as compatible as possible with the MARC FORMAT FOR HOLDINGS AND LOCATIONS. Although this format has been finalized only recently, we believe that the MARC format will be the nationally accepted standard for serial data. The ILS serials subsystem will be compatible with the 853 field in particular. The internal ILS data structures will be mappable both into and from the MARC format by manipulation modules. A future enhancement may provide tape reading and writing from and to the MARC format for holdings, but that will not be provided in the initial development cycle. We will assure data compatibility with a core subset of data elements (described in this document under the HOLDINGS ADD/EDIT section).

FUNCTIONS AND JOBS NEEDED IN THE NEW SERIALS CONTROL SUBSYSTEM

PP SERIALS SUBSYSTEM PARAMETERS
HA HOLDINGS ADD/EDIT
SE SERIALS CHECK-IN
BQ BINDERY INSTRUCTION RECORD DEFINITION
BA BINDERY INSTRUCTION RECORD ADD/EDIT
RC SERIAL CLAIMS QUEUE REVIEW
RB BINDERY QUEUE REVIEW
VA VENDOR ADD/EDIT
VQ VENDOR RECORD DEFINITION
RA ROUTING ADD/EDIT/DELETE

VR VIEW REPORTS NEW REPORTS:
- VPR VENDOR PERFORMANCE REPORT
- CAR CLAIM ACTIVITY REPORT
- BAR BINDERY ACTIVITY REPORT
- SER SERIALS CHECK-IN ACTIVITY REPORT

JI JOB INIT NEW JOBS:
- CLN CLAIM NOTICES
- BIN BINDERY NOTICES
- OBN OVERDUE BINDERY NOTICES
- PCR PRE-CLAIM REPORT
- UCR UNFILLED CLAIMS REPORT
- BCR BINDERY CANDIDATES REPORT (PULL SLIPS)
- SHL SERIALS HOLDINGS LIST
- VEL VENDOR LIST
- HOD HOLDINGS DEFINITION DELETE
- BID BINDERY INSTRUCTIONS DELETE

CAS NEW COMMANDS IN CAS:
- N SEARCH FOR A SPECIFIC NUMBERED ISSUE
- D SEARCH FOR A SPECIFIC DATED ISSUE
- H REQUEST HOLDINGS SCREEN
- M REQUEST MARC RECORD DISPLAY

SERIALS FILE STRUCTURES

The file structures developed for the new serials control system reflect the usual concerns of an integrated system: avoiding duplication of data, keeping data used together together, and simplifying processing by using similar structures. They were also influenced by the greatly enhanced capabilities of the proposed system, by the draft "USMARC Format for Holdings and Locations", and by the file structures of the proposed ILS Acquisitions Subsystem.

HOLDINGS FILE

A key to many of the tasks is getting serial holdings in order. Past experience has shown the difficulty of sorting dates and V.I.P.S., elements which may be little more than free text.

To deal with this, we suggest maintaining a new hold file in forced sequential order, supporting it with entry through three familiar index files; chronology (date), enumeration (vol.,iss.,etc.), and internal vips-copy.

There are several advantages to this design:

1.Simplified look-up. All look-ups will be searching the same file using different approches. That is all searches will consist of a single look-up of a starting point followed by a browse in the ordered file.

2.Simplified browse. All browsing (display of list) will be in the same file, and always in order. The indexes will be used only for entry into the main file.

3.Simplified maintenance. Only one file will require sequence and that will be forced. Reorganization can be accomplished without changes outside the holdings file since the internal I.D. is not affected. Indexes can be resorted and reconstructed as required to reflect a new order or to adjust to the limits of the sorting device.

4.Ease of conversion. No conversion of the serials files will be easy or fully automatic. Any approach we choose will require human input of newly required support data. This method, at least, will require no major change in the internal vips-copy. Automatically converted files should be in at least as good sort order as their predecessors.

5.The structure of the main file itself can be quite simple, requiring only one level to maintain the sort. This will make browsing quite simple. Browsing in the index files, which

will now have be of variable depth, is eliminated.

6.Will have true sequence. This is critical for claiming, binding, and for keeping prediction algorithms simple and broadly effective.

How it will work:

1.Direct entry by barcode. Go from internal vips-copy index, which points to the main file. Display the item.

2.Chronological (date) entry. Enter a date. Go to date index for entry point for main file. Go to main file and display browse. If the searcher has input a wrong form of the date (it's free text, after all), he is immediately presented with examples of the correct form for this serial.

3.Enumeration (volume) entry. This is quite the same as date, allowing entry of a volume, immediate browsing in the main file with enumeration oriented display highlighting the correct date form.

How it will be done:

What is required is a simple sort key (see the "YY" node in the holdings file) allowing reasonable insertion. The key will provide for large number of issues and large insertion. Resorting should seldom, if ever be required; however the file can be resorted with newly distributed keys and all index pointers adjusted.

Other new elements in the holdings file:

The "U" node is a link to the subscription file. The subscription file is modeled after the order file of the proposed Acquisitions Subsystem and contains such data as the number of copies on the subscription, links to associated vendor file(s), and specific claiming information.

The "V" node is a link to the caption and pattern files. A limitation of the ILS serials control subsystem was its restriction to four levels of enumeration and the uniform labelling of these "volume, issue, part, supplement". There appears to be little reason to limit enumeration to four levels or to carry more levels than required to described the item. The displayed text of the captions will be kept in a separate file, corresponding in number of levels with the number of levels of enueration required by the item. Keeping captions in their own file will avoid unnecessary repetition of caption text in each bibliographic record.

The "W" node contains the earliest and latest issues checked in for each format. This is the source of the consolidated

holdings statement in CAS.

Known publication patterns are necessary for predicting the receipt of issues for claiming and for identifying binding units. Like captions, publication patterns will be kept in a separate file and shared among titles having identical patterns.

The prediction flag ("*") denotes issues predicted but not yet received. As issues are predicted, entries will be made in the "X" and "Y" fields. When the first copy of an issue is checked in, the prediction flag will be killed and entries added to the "YY" and "Z" files.

The combination [sid,cd] (claiming date and subscription id) is a pointer to the expected receipt file. Once the date of expected receipt has passed, the item moves to the claims file and the date pointer can be deleted.

```
^S(BID,MIIS)=...MARC Bibliographic Tag data...(no change)

^S(BID,"U")=[SID][SID]...
^S(BID,"V",,-EFFDATE)=[cap#;patt#][cap#;patt#]...for formats
^S(BID,"W")=[CAPTION#][CATPION#] ...for consolidated holdings formats
^S(BID,"W",format)=[1st enumum][last en][1st chron;last chron]
            [1st al  enum][last alt enum][1st alt chron;
             last alt chron]
          format2)=....
          format3)=....

^S(BID,"X",0)=[last chronology]
^S(BID,"X",0,chron,key)=*O* or [sid,cd]...until all checked in
           .
           ,chron,key)=[sid,cd][sid,cd][*]
               where *=predicted chronology
         ,1)=[last alt chron]
         ,1,alt chron,key)=*O*
           .
           .
           ,alt chron,key)=[sid,cd][sid,cd][*]
                where *=predicted

^S(BID,"Y",0)=[last enumeration]
^S(BID,"Y",0,enum,key)=*O* or [sid,cd]...until all checked in
           .
           ,enum,key)=[sid,cd][sid,cd][*]
              where *=predicted
         ,1)=[last alt enum]
         ,1,alt enum,key)=*O*
           .
           .
           ,alt enum,key)=[sid,cd][sid,cd][*]
             where *=predicted

^S(BID,"YY")=[first key;last key][first;last][first;last]...
       "YY",key)=[chron][enum][alt.chron][alt.enum]
                 [vips][caption]
           ,key)...
           .
           .

^S(BID,"Z",vips)=[key][last copy#]
         ,vips,cp)=[copy#(opt)][call#][L/G]
                   [MatType][Type][CirCat][barcode][bnd]
```

Definitions: MARC tags are for reference. Goal is input (and someday output) compatibility with proposed the USMARC Format for Holdings and Locations.

alt chron	Alternative numbering scheme, chronology. (MARC 863m)--see date below.
alt enum	Up to two levels for alternative numbering scheme, enumeration. (MARC 863g-h) FORMAT: ae;ae--where ae's represent levels of alternative enumeration.
bnd	Binding flag--binding unit control#.
caption #	Index # to the Master Captions file. (Similar to MARC 853$6 & 863$6) Caption file holds data from MARC 853a-m.
cd	Claiming date (YYMMDD). Date after which item not received ready for review prior to production of claim notice. Based on date of expected receipt plus a vendor/item specific grace period. (cd=expected date+claim interval)
chron	Internal date--see below. (MARC 863i-l) ANSI: The different types of dates used by the publisher of a work to identify th individual bibliographic units of a serial (for example, date of coverage, date of publication, date of printing, or date of reprinting.)
cp	Internal Copy Code (no change, however the code will be in fixed sequence, so the code will be a direct internal representation of the external copy#).
enum	Up to six levels of enumeration. (MARC 863a-f) FORMAT: e1;e2;e3;e4;e5;e6-- where e's represent levels of enumeration in semicolon pieces. ANSI: The nonchronological scheme used by the publisher on the bibliogrpahic unit to identify the individual bibliographic units of a serial and to show the relationship of a bibliographic unit to the serial as a whole.
key	Internal key to allow proper display order. Key will have to provide for insertion and will probably require periodic resorting. We have in mind a three character basic key, derived from the forty-three (or perhaps sixty-three) character internal code string. A possible two character extension will allow for extensive insertion before resorting is ever necessary.
Pattern #	Index # to the Master Publisher's Pattern file. (Similar to MARC 853$6 & 863$6) Publication pattern data is in MARC 853u-y.
sid	Subscription id (ref to subscription data, ^SU)
vips	Internal Enumeration Code (no change).

date Internal format date: yyyysmmdd

yyyy	four digit year
s	one character binary encoded season or range of seasons
mm	two character binary encoded month(s) or range of months or both
dd(-dd)	two digit day or range of days

where:

1=spring
2=summer
4=fall
8=winter

1=January
2=February
4=March
8=April
16=May
32=June
64=July
128=August
256=September
512=October
1024=November
2048=December

SUBSCRIPTION FILE

The subscription file contains information specific to individual subscriptions. It is linked to a vendor by the vendor ID (VE) and possibly to another vendor for fulfillment. The bibliographic record is linked to the subscription file by the "U" node. The subscription file is patterned, for convenience and compatibility, after the order file of the proposed Acquisitions Subsystem (AQO).

```
^SU("")=last sid#
^SU(sid,1)=[bid][format][][oid-link to order file]
        ,2)=[][][first claim interval;subsequent claims
            interval][][beginning date][ending
            date][auto-renewal flag]
        ,3)=[reserve or routing queue]
        ,4)=[VE][][][][number of copies]
        ,6)=[number of claims to send]
        ,9)=number of lines in special instructions
        ,9,1)=first line of special instructions
          ,2)=second line of special instructions
            .
            .
            .
        ,9,n)=nth line
```

oid Order id--link to order file
VE Vendor id--link to vendor file

CAPTIONS

The captions file contains the textual labels assigned to each level of specified enumeration.

^SC(" ")=last used cap#

^SC(" ",{E1;E2;E3;E4;E5;E6},{AE1;AE2})=cap#

^SC(cap#)=[E1;E2;E3;E4;E5;E6][AE1;AE2;AE3;AE4]

Where E's represent up to six levels of enumeration and AE's up to two levels of alternative enumeration. The caption file contains information compatible with proposed MARC 853a-h. Each field here must pair with a field in the holdings enumeration record. Levels need not be specified if not used.

For example:

^SC(" ",{vol.;no.})="#"
^SC("#")=[vol.;no.]

shows the common volume-number pattern. (Parentheses indicate that the caption is not displayed (per MARC)--and perhaps not needed.)

The caption number is similar to the $6 linking field of the MARC 853 and 863 tags. It differs here in that the link is to a caption file shared by multiple holdings records.

The caption file would probably be supplied with many of the more common captions. However, additional captions would be generated "on the fly" as new variations are created in Holdings Add/Edit.

When captions for a new item are processed by the background filer, the file of existing captions will be checked to see if an appropriate set already exists. If it does, the associated caption number will be assigned to the holdings. If a new pattern is detected (not found in the the ^SC(" ") file), a new caption entry will be created.

PUBLICATION PATTERNS

Publication pattern files contain information supplied during Holdings ADD/EDIT. The information is used to predict the enumeration/chronology for the next expected issue. The proposed "USMARC Format for Holdings and Locations" keeps publication pattern information in the u-y and $3 subfields of the 853 tag, linking it to each holdings record (tag 863) by the $6 subfield. Our plan is to keep publication pattern information in a shared file in order to avoid duplication. We will use the prescribed MARC codes as far as practical, adapting them where necessary. the actual procedures used.

^PATT=last pattern number
^PATT(patt#)=[u][v][w][x][y]

u -- Bibliographic units per next higher level.
Form: N;N;N;N;N, where N's represent number of units contained in up to five sublevels. For the highest level this information is not relevant.

v -- Restart/continuous numbering code.
Form: X;X;X;X;X;X, shere N's indicate whether each of up to six levels increment continuously ("c") or restart ("r") at the completion of the unit.

w -- Frequency of the item.
Lower case alphabetic codes are used for those frequencies which have a fundamental periodicity. Numeric characters for those for which no periodicity exists.
Frequency codes: (from the MARC holdings format)

- a - Annual
- b - Bimonthly (every two weeks)
- c - Semiweekly
- d - Daily
- e - Biweekly (every two weeks)
- f - Semiannual
- g - Biennial (every two weeks)
- h - Triennial (every three years)
- i - Three times a week
- j - Three times a month
- m - Monthly
- q - Quarterly
- s - Semimonthly
- t - Three times a year
- w - Weekly
- x - Completely irregular

x -- Calendar change.
Specifies the chronological point at which the enumeration increments or changes. Two numeric characters (01-12 or spring-21, summer-22, autumn-23, winter-24) are used. MMDD is used if it is necessary to specify the day of change. If more than one level of change is required, both dates appear, delimited by commas.

y -- Regularity.
Specifies any irregularity in the publication pattern. Initial 'o' or 'p' indicates whether omission or publication is being noted. The MARC format provides a system of numeric and alphabetic codes for days, weeks, months, and seasons.

PREDICTION ALGORITHMS

In order to simplify check-in and to enable automatic monitoring of serial receipt for timely claiming, the system must be able to predict the enumeration/chronology designation of the next expected issue. This will require users to enter sufficiently detailed descriptions of serial publication patterns through Holdings Add/Edit. (See previous sections.) Prediction will consist of incrementing each level of enumeration and the chronology through the ranges defined by the publication pattern. If a usable, regular pattern cannot be identified, a prediction cannot be made; and each issue will have to be entered upon receipt. For serials which defy automatic prediction, it may be useful, to assure timely claiming, to allow user-input or manual prediction.

CLAIMS FILES

The files for claims control may be the most dynamic in the serials control subsystem. While orderly follow-up on missing issues is pursued, check-in, possibly including these issues, continues. The same files are subject to automatic and manual updating. A continuous coherent record must be maintainable from first notation through review, approval, production, follow-ups, abandonment, and decision on replacement.

To accomplish this, a master claim record for each bibliograhic item-subscription will be established as it becomes a candidate for claiming. The master record will contain claim information about the item, its claim history, and pointers to supporting files in which there is a record of the item.

We have noted three sources of claim identification.

1. Missed issues -- if the system notes a holdings gap, for example, when a user checks in an issue later than that expected.

2. Non-receipt -- if an issue has not been received, and the claim interval has lapsed.

3. Manual input -- direct input of items into the claiming process must be provided for claim candidates not noted by the automatic devices of the serials control subsystem.

When new items are added to the claim file, they will also be added to a vendor index and a dated review queue.

Numbers one and two above depend on the prediction devices of the serials control subsystem. As each issue is predicted it is noted in the bibliographic record and in the claim date file. As each issue copy is checked in the number expected will be decremented until all expected issues have been received and the entry deleted. The nightly DOWN housekeeping function will check the claim date file for any expected items not received, establish any overdue items in the master claim file as candidates for claiming, and delete them from the queue of expected items.

Claim date file:

^SD(claim date,BID_key,sid)=[#copies]

Master claim record:

^SL(BID_key,sid)=[#copies][status][rd][batch #]

rd--review date, YYMMDD
batch#--points to vendor claim batch

Master claim record, history node:

^SL(BID_key,sid,"C")=[date 1st claim][date 2nd claim]...[date nth claim]

Message node:

^SL(BID_key,sid,"M")=number of lines in message
,1)=first line of notes to accompany claim.
,n)=nth line of notes to accompany claim.

SUPPORT FILES

Vendor index:

^SL("V",VE,BID_key,sid)

Review queue:

^SL("R",rd,BID_key,sid)

As each new claim candidate enters the queue, it is placed also in this file for review. If approved, its status is changed accordingly, it is deleted from the review queue, and added to a batch ("B") ready for production (note: for single item reports the batch length would be set to one). Another option is to postpone review to a later date. In this case, the review entry would be replaced by a later one and pointers adjusted accordingly.

It may be desirable to "batch" claims so that several items are reported on one notice.

^SL("B",VE)=last batch#
^SL("B",VE,batch#)=[# in batch][status][date printed]
^SL("B",VE,batch#,BID_key,sid)

It may also be necessary to have a queue of batches completed and ready for approval and/or production of notices.

^SL("C",VE,batch#)

CLAIM STATISTICS

Similar claim statistics are required for the system and for each vendor. What we present here is a record for claim activity in atomized form. That is, only files for daily record keeping are shown. From these daily figures, the system can generate summaries by summation for whatever periods are desired on a systematic or demand basis. Further specification of report requirements may suggest some cumulation of the raw data.

Two types of data are required for the statistical reports: a record of today's activity, and an updating of earlier activity to determine performance. The update is required in order to determine such things as the fill rate for items claimed earlier. Statistics such as "claim fill rate" and "average time from claim date to receipt date" require calculation rather than the simple counting of other ILS statistics.

System level statistics:

^SL("ST",YYMMDD)=[#claims][#filled][#follow-ups][#declared missing]
[#filled-R][#follow-ups-R][#decl.missing-R][days to fill-R]

Vendor statistics will probably be kept in the vendor parameter/status file:

^PV1(VE,8,YYMMDD)=[#claims][#filled][#follow-ups][#decl.missing]
[#filled-R][#follow-ups-R][#decl.missing-R][days to fill-R]

where the R's indicate retrospective or follow-up figures for claims placed on this date. The first line of pieces records the daily activity. This is an addition to the Vendor Parameter/Status File of the Acquisitions Subsystem (p.25.)

An alternative structure would put the data from the stacked pieces in separately subscripted nodes: ^SL("ST",YYMMDD,1)=#claims, ^SL("ST",YYMMDD,2)=#filled, etc.

The "Claiming Activity Report" (Requirements, p.25) specifies several statistics to be reported. The numbers following refer to stacked pieces in the system level statistics and may represent summation over library specified periods.

Number of claims placed: 1
Number of claims filled: 2
Number of subsequent claims placed: 3 or 6
Claim fill rate: 1/5*100
Average time from claim date to receipt date: 8/2
Number of items declared missing: 7
Percentage of unfilled claims: 1-5/1*100

The "Vendor Performance Report" (Requirements, p.25) specifies several statistics to be reported. The numbers below refer to stacked pieces in the vendor statistics and may represent summation over library specified periods.

Number of claims sent: 1
Percentage of claims filled: 5/1*100
Average turnaround time betwen claim date and receipt date: 8/2
Number of subsequent claims sent: 3 or 6
Percentage of unfilled claims: 1-5/1*100

Additional running totals can easily be maintained for months (YYMM) and years (YY).

BINDING FILES

Binding requires several system parameters as well as the definition of local binding instructions. To do this will require maintaining a master binding record for each item supported by whatever indexes are necessary.

MASTER BINDING FILE

The master binding file will be composed of system default information, information for the binding of each item, and the compiled binding units along with any information specific to the unit. There are several questions required by the binding system. These are followed by site-defined question responses.

At the top, the system default responses to the master question list.

```
^SB(" ",1)=Bindery ID (VE)
^SB(" ",2)=Bindery category
      ,3)=Number of copies
      ,4)=Number of issues received per bindery unit
      ,5)=Enumeration level completed per binding unit
      ,6)=Number of days after last issue rec'd before binding
      ,7)=Special instructions to bindery
      ,8)=Overdue interval
      ,9)=<first optional question>
      .
      .
```

NOTE: VE here is the ID of the bindery, a pointer to the vendor file.

Then, the master record for each binding item, input by bindery add/edit (based upon system defaults).

```
^SB(BID)=[last control#]
^SB(BID," ",1)=Bindery ID (VE)
^SB(BID," ",2)=Bindery category
           ,3)=Number of copies
           ,4)=Number of issues received per bindery unit
           ,5)=Enumeration level completed per binding unit
           ,6)=Number of days after last issue rec'd before binding
           ,7)=Special instructions to bindery
           ,8)=Overdue interval
           ,9)=<first optional question>
           .
           .
```

Finally, a record for each binding unit, based on the item master record, but containing any unit specific data and exceptional information. Items (not pieces) forming a binding unit are selected by the system, based on data in the master record (items 3 & 4 above). Binding "pull" notices may be generated to assist staff with retrieval of the pieces. When a copy to be bound is wanded, the system will replace the item-level ID with the specific copy-level ID and flag its entry in the holdings file (control number in the "Z" node) to indicate inclusion in a binding unit. When a bound volume is checked in from the bindery, all of the indivdual pieces will be deleted from the binding records and the system. A new item record for the bound volume will then be created. The status of the binding unit will also reflect this. When all of the items in shipment are accounted for, the binding record may be deleted or archived.
NOTE: There remains some indecision as to whether individual piece records should be deleted before they are sent to the bindery or only after the bound volume has been returned and verified. The latter seems the more conservative approach; however, local practice may determine what is done.

```
^SB(BID,control#)=[status][enum][chron][shipment#][review date]
                  [date sent][date due back]...other data
                 ," ")[=[date 1st notice][2nd notice]...
^SB(BID,control#,IID)
                  .
                  .      Note: System creates record with
                  .      ID's of BID_VIPS. When item
                  .      retrieved, these are replaced with
                  .      full internal ID's.
                  .
^SB(BID,control#,IID)
^SB(BID,control#,N)=data (where N is question for
             which binding unit data different from item data)
```

SUPPORT FILES

Binding tasks will be supported by additional files such as (but not limited to) the following:

Vendor:

```
^SB("V",VE,BID,control#)
```

'Due-back' date:

When a binding unit is approved for shipment, its expected date of return can be calculated based on a vendor parameter (or system default). This also must be editable for an individual item in case any unusual handling is required. The system may also have to deal with priorities (high and normal?).

^SB("D",YYMMDD,BID,control#)=[date 1st notice][etc.]

New or ready for review:

When a binding unit is completed and added to the master binding file, a dated entry must be made for periodic review. In case unit is not ready for binding (pieces missing?), review could be postponed to a later date.

^SB("R",YYMMDD,BID,control#)

Shipment:

It may be necessary to keep track of bindery shipments.

^SB(<SHIPMENT#>,BID,CONTROL#)

Other files may be needed, for instance binding units by status for review.

BINDING STATISTICS

Similar binding statistics are required for the system and for each bindery. What we present here is a record of binding activity in atomized form. That is, only files for daily record keeping are shown. From these daily figures, the system can generate summaries by summation for whatever periods are desired on a systematic or demand basis. Further specification of report requirements may suggest some cumulation of the raw data.

Two types of data are required for the statistical reports: a record of today's activity, and an updating of earlier activity to determine performance. The update is required in order to determine such things as the average turnaround time between date sent to the bindery to date received from the bindery.

System level statistics:

^SB("ST",YYMMDD)=[#sent][#retnd][#notices][#overdue][#declared missing]
[#retnd-R][#notices-R][#overdues-R][turnaround time-R]

Statistics for each bindery used will be kept in the vendor parameter/status file:

^PV1(VE,8,YYYMMDD)=[#sent][#rtnd][#notices][#overdue][#declared missing]
[#retnd-R][#notices-R][#overdues-R][turnaround time-R]

where the R's indicate retrospective or follow-up figures for items sent to be bound on this date. The first line of pieces records the daily activity. This is an addition to the Vendor Parameter/Status File of the Acquisitions Subsystem (p.25.)

The "Bindery Activity Report" (Requirements, p.33) specifies several statistics to be reported. The numbers following refer to stacked pieces in the system level statistics and may represent summation over library specified periods.

Number of titles sent: 1
Number of titles returned from the bindery: 2
Number of tieles overdue from the bindery: 3
Average turnaround time: 8/2

Other statistics and reports, similar to those in the claiming module, may also be generated. Additional running totals can easily be maintained for months (YYMM) and years (YY).

SERIALS FILE STRUCTURES

Serials Transaction Lengths

Version 3.0 of the ILS contains modifications to the Serials Check In function which reduce the length of a serials transaction. These changes are as follows:

1. In previous versions of the ILS, the Serials Check In function set up a scratch file which contained the entire serial record from ^S(BID).

   When the user had finished with his updates, the ILS set up a lengthy transaction in the processor file. However, this transaction was marked as "processed" by the Serials Check In software since the update took place in real time. The purpose of the transaction record in the processor file was for the Backup and Restore function.

   As a result of this method for Serials Check In, each transaction passed to the processor file contained the entire bibliographic record. This proved to be very costly in time and storage space for the system.

2. Version 3.0 insures that the user's job will be the only job in the system which is updating the VIPS information. Also, in Version 3.0, a slash command in the Serials Check In function is acceptable at any point. Nothing will be filed, and the system will return to the top of the function. The main file will not be affected until the transaction is passed.

   Only the information needed by the user for Serials Check In will be retrieved from ^S(BID) and placed into the scratch file.

   When the user has finished with his updates, only the updated data from the scratch file will be passed to the processor file.

   The ^S(BID) record will be opened in order to prevent more than one user at a time from modifying the information.

   Because Item Delete is not done in real time, as Serials Check In is, the system sets a flag, ^Xt, to prevent Serials Check In use of the record until the delete transaction is complete. This flag helps to prevent a conflict between foreground and background updates to the same record.

SERIALS SCREEN DISPLAYS

Screen displays for implementation of the serials system pose a somewhat complex problem, due to the necessity of displaying and accepting large amounts of related data within screen displays designed to be as simple and understandable as possible. To simplify these problems and at the same time allow for relatively easy maintenance and future expansion, a generic screen handler will be integrated into the serials system. This screen handler will be used for most serials screens. A prototype program has been developed and tested for this purpose. In its completed state, the screen handler will fulfill the following specifications:

1. Template file. A template for each screen will be stored in ^H(70) containing, in stacked pieces, all data necessary for data handling and display: prompts, default references, storage variables, format check algorithms, etc. Most screens will use the same software.

Data will be designed around the concept of the data element, with all input specifications grouped together for each data element (which from the user's point of view is equivalant to a prompt). The control global, will contain in one location controlling data which will determine the operations of the screen handler. The structure of the control global is as follows:

```
^H(80,SCREEN CODE)=screen name^read type^scroll/fix

^H(80,SCR CODE,ITEM#,"A")--

  "A")=^prompt^row^column^default^mandatory^max length
       ^# of repeats^skip to pointer^skip condition

  "B")=format check^format 2^variable storage^protected
       field code^error message^list global^^^^label only
       ^format execute
```

More detailed information can be supplied regarding the specific function of the elements in the control globals making up the templates, if necessary.

2. Standard maintenance procedure. Each screen template will be created using a screen creation utility, making maintenance far more simplified and standardized. Screens will be editable (regarding prompts, format, variable storage, cursor control, etc.) via the same screen utility. A prototype screen creation/ editing utility has be developed and tested.

3. Defaulting. Wherever possible, predicted answers will be

displayed during data input so that a single keystroke can be used to enter the data. To accommodate the space constraints caused by displaying large amounts of date in a simple manner, the default response will appear immediately following the prompt. The cursor will appear superimposed on the first character of the default. Three responses will be possible: A 'return' will move the cursor to the next prompt, accepting the data. The convention '/D' will erase the default, indicating that no data should be entered (for optional data). If the user begins typing data, the default will be erased as the user inputs the new data. These responses are illustrated below:

Example 1	Example 2
LOCATION: Periodicals	LOCATION: Periodicals
LOCATION: /D <erased>	LOCATION: S <erased>
LOCATION:	LOCATION: Stacks

The examples are displayed on separate lines for clarity; in actuality action would take place in the same line.

4. Validation. All input will be validated using a standardized validation method, using a variety of checks (such as alpha-numeric pattern or existence on a list) to ensure accuracy of data entry.

5. Windowing. To allow for the simple handling of large amounts of data, a pseudo-windowing capability will be integrated into the screen handler. Groups of prompts can be defined as belonging to a specialized subset of data elements. A portion of the screen (the "window") will be repainted as needed with new prompts. This could be used both for repeat answers and for groups of rarely used questions, which would only be displayed when needed. In this way user friendliness can be preserved by keeping prompting simple yet allowing for complexities when they do arise.

Data storage for windows will have the following structure:

```
^H(screen,item#,"W")=# conditions/possible subscreens
      1)=condition^subscreen code;prompt list (optional)^
         column^1st row^max lines^max cycle repeats^
         prompt location code: x-increment,y-increment, or
         prompt-defined location^

^H(screen,"W".subscreen code)=total data prompts
                             ,item#,"A")=same as above
                             ,item#,"B")=same as above
```

6. Question clustering. A scheme in which prompts can be left unnumbered and made accessible only through the previous

prompt. This technique would allow forced entry of related prompts even in editing mode.

7. Display information. The screen handler will allow for the display of headings and other information in a location-addressable manner, using fixed or variable data.

8. Data input control. Two types of data reading methods will be provided. In the controlled read type, the screen will not allow data entry beyond or before the allowed space for a prompt. This will not allow data entry to overwrite previous or subsequent prompts and data, and will provide an obvious check on data input length. This input type will use a character read ('*' read) algorithm to build data entries. Because reading data character-by-character uses more CPU time, a switch will enable the changeover to an unprotected read for situations in which the computer is under heavy load.

9. Control of data entry entry path. The screen handler will allow control of data entry by use of mandatory questions and prompts which can be skipped based on previous answers. This will direct the user through the correct questions (while avoiding unnecessary ones), while retaining the more clear and readable screen-type format.

HOLDINGS ADD/EDIT

A mechanism must be provided to allow users to enter new serial records, to define holdings data, acquisitional data, parameters, claim information, and bindery instructions. This is the process whereby a user defines the publication pattern and control data required for serials modules to operate properly.

Data entry must be as quick and easy as possible, while providing enough flexibility for operators to precisely define each title's pattern. We propose a standard formatted screen which prompts the user for necessary and optional data for each title holdings definition. By prompting the user for each data element, the system will assist operators in a function which, after initial retrospective work, will not be used regularly. The operator, then, need not commit to memory each data element required in the the system (as is presently the case in using some ILS functions such as Newly Cataloged Item.)

We propose the following screens for Holdings Add/Edit (to define the control data and publication pattern of each individual serial title).

HOLDINGS ADD/EDIT SCREEN 1
ADD MODE Edit which field?

TITLE: Bulletin of the American Society for Information Science
IMPRINT: Washington, DC: ASIS
ISSN: 0095-4403 CODEN: BASICR OCLC: 00000000 CONTROL: 00000000

1. FORMAT: Hardcopy
2. STATUS: Current
3. TYPE HOLDING: Subscription
4. RETENTION: Bound
5. # COPIES: 1
6. LOCATION: Periodicals
7. VENDOR: 532
8. CLAIM DAYS: 60
9. # CLAIMS: 2
10. CLAIM FORM: Letter
11. DAYS BETW CLAIMS: 30
12. TERM/COPY: Issue
13. ISSUES/YEAR: 6
14. FREQUENCY: Bimonthly
15. CALENDAR CHANGE: 01
16. REGULARITY: R
17. ANALYZE: N
18. CAS: Y
19. ROUTE: N

20. COPY: 1 BARCODE: Y LAW OR GEN: G TYPE: G LOAN: 1
21. INSTRUCTIONS: Route copy 1 internally before shelving.

```
HOLDINGS ADD/EDIT                          SCREEN 2
ADD MODE                                   File?

TITLE:  Bulletin of the American Society for Information Science
IMPRINT:  Washington, DC:  ASIS
ISSN: 0095-4403  CODEN: BASICR  OCLC:  00000000  CONTROL: 0000000
FREQUENCY: Bimonthly

     LEVEL  CAPTION    DATE         UNITS  NUMBERING

1.       1  Volume     Year             1  Continuous
2.       2  Number     Month            6  Restart
3.       3
4.       4
5.       5
6.       6

7.   ALT 1
8.   ALT 2

9. REGULARITY NOTE:
```

The above data elements translate into MARC data elements as follows.

ILS DATA ELEMENT	MARC EQUIVALENT
FROM BIBLIOGRAPHIC DATA:	
TITLE	245 Title Statement
IMPRINT	260 Imprint
ISSN	022 ISSN
CODEN	030 Coden
OCLC	001 OCLC Number
STATUS	008/06 Publication Status Code
REGULARITY	008/19 Regularity
LOCAL TO ILS:	
FORMAT	[Local ILS Dictionary]
TYPE HOLDING	[Local ILS Dictionary]
RETENTION	[Local ILS Dictionary]
# COPIES	
VENDOR	[ILS Vendor File]
CLAIM DAYS	[ILS Parameter]
# CLAIMS	[ILS Parameter]
CLAIM FORM	[ILS Parameter]
DAYS BETWN CLAIMS	[ILS Parameter]
ANALYZE	[ILS Parameter]
CAS	[ILS Parameter]
ROUTE	[ILS Parameter]
COPY	
BARCODE	[ILS Parameter]
LAW OR GEN	[Local ILS Dictionary]
TYPE	[Local ILS Dictionary]
LOAN	[Local ILS Dictionary]
INSTRUCTIONS	
FROM THE MARC HOLDINGS RECORD:	
CONTROL	001 Control Number
LOCATION	852 Location/Call Number
ISSUES/YEAR	853 ǂw Issues Per Year/Frequency
FREQUENCY	853 ǂw Issues Per Year/Frequency
CALENDAR CHANGE	853 ǂx Calendar Change
CAPTION	853 ǂa - ǂh Term Designating nth Level of Enumeration
DATE	853 ǂi - ǂn Term Designating nth Level of Chronology
UNITS	853 ǂu Bibliographic Units per Next Higher Level
NUMBERING	853 ǂv Restart/Continuous Numbering Code
REGULARITY NOTE	853 ǂy Regularity Pattern
TERM/COPY	853 ǂt Term Designating Copy

The above screens would be called up after cataloging data had been entered either through Newly Cataloged Item, OCLC Interface, or Process OCLC Tape. The brief bibliographic citation would be supplied from the bibliographic source, and the remainder of the screen(s) would contain all data and default values necessary to define holdings records. Note that several series of screens may be required for titles held in multiple physical formats (all data elements are subordinate to the serial "format").

Screen one will have certain data elements defaulted from system parameters, including:

Format = Hardcopy
Status = Currently received
# of copies = 1
Claim days = locally-supplied system or vendor parameter
# of claims = locally-supplied system or vendor parameter
Claim form = locally-supplied system or vendor parameter
Days between claims = locally-supplied system or vendor parameter
Copy data (line 20) = locally-supplied item record defaults
Analyze = locally -supplied parameter (usually = N)
CAS = locally-supplied parameter (usually = Y, display in CAS)
Route = locally-supplied parameter

All defaults may be overridden by the operator by keying in a new value in the field where the default is displayed. Defaults may also be deleted by a special "delete" function (such as *D or /D as presently used in the ILS Bibliographic Subsystem).

Certain data elements will be controlled by standard dictionary lists. The initial system will include tables of values which are standard to AACR2 and/or the MARC format for holdings, and will also include user-definable dictionaries. Examples of nationally standardized lists of values include:

Status = MARC Receipt/acquisition status code (008)
Retention = MARC General retention code (008)
Frequency = MARC Frequency code (853)
Calendar change = MARC Calendar change code (853)
Caption = MARC and AACR2 list of enumeration terminology
Chronology = MARC and AACR2 list of chronology terminology
Numbering = MARC Restart/continuous numbering code (853)
Regularity note = MARC Regularity pattern (853)
(ILS future calculation implementation)

When a user must input data in a field which is controlled by a dictionary or other file, the user will be able to search the file and browse brief entry information in a window at the bottom of the Holdings Add/Edit screen. For example, assignment of a vendor may require that the user search the vendor file to identify the appropriate vendor and its record number. Mechanisms similar to those used throughout the ILS for Item

Look-up will be used for searching, displaying, and selecting entries from dictionaries and files.

The second screen is used for publication pattern definitions. The Serials Control Subsystem will have several dictionaries which are used for these definitions, including a captions and a publication pattern dictionary. When the user is inputting a new record, this second screen of data will be defaulted, based upon the frequency entered in the first screen. The operator will also then have a chance to examine and change the title's publication definition, or to create a new one which will be added to the publication pattern dictionary. These data will be standardized and controlled as much as possible to assist in building prediction algorithms and holdings display algorithms for a large percentage of titles. Completely irregular titles will be defined more generally, and claim parameters can be reset for proper operation.

Each field which is controlled by dictionary look-up will be validated upon user input. If the operator is not sure of the appropriate values, the system will provide brief look-up capabilities. If the user inputs a question mark in any field, a window will open up at the bottom of the screen and the user may search or browse the dictionary for assistance.

Fields required for system control will be defaulted. The user will not be allowed to blank out required fields. Required data elements will include:

Format
Status
# of copies
Retention
Claim days
# of claims
Claim form
Days between claims
Frequency
Issues per year

Note that parameters may be set to 0 if appropriate (# of claims). Irregular titles may require generous time intervals for claim parameters for the system to work properly.

Screen one will force the operator to examine every field, since most of the data are required. The cursor will be positioned at each field and the user will be prompted to accept, change, or delete the defaulted data. A <RETURN> will bring the user to the next field for input. Once the entire screen in filled in, the user will have the chance to edit any field by requesting its reference number. When work is completed, the second screen will be displayed.

The second screen will provide defaulted data from the frequency code. The user will be placed at data element #1 for input. If the data is acceptable and no further work is required, a <RETURN> will bring the cursor to data element #7 for input of an alternative numbering scheme. If none is required, another <RETURN> will bring the user to data element #9 for notes on irregularities. Finally, the user will be able to edit any data on the screen. When everything is completed, the record may then be filed (both screens are filed at the same time). Control data will take effect immediately in check-in, claiming, and binding.

Holdings records may also be edited as needed (frequency change, vendor changes, etc.). The operator will call up the above record and edit as required. Certain fields will be protected (for example, bibliographic data would not be edited here, but through the OCLC Interface or via Edit Item). Edits to this record will become effective in check-in immediately upon filing and processing.

For titles which are regularly bound (on the first screen, the user input a RETENTION code = "Bound" or "Replaced by microform"), the user will be supplied with a third screen which allows the definition of enumeration and chronology data for the bound volumes. This data will frequently differ from the publication pattern of the regular subscription. No defaults will be provided on this screen, allowing users to create a pattern which matches their site-specific binding policies. This third screen need not be completed during initial holdings definition; it may be filled in any subsequent time as an "edit" to the holdings record. See also the section of this document on the BINDING MODULE for information on creating bindery instruction records for regularly bound titles.

CHECK-IN PROCESS

SEARCH SERIAL RECORD
User searches serial title by available indexes, including:
- Title key
- Title
- Coden
- ISSN
- OCLC number
- Call number
- Corporate author

System retrieves a list of hits.
User selects the proper record.
System prompts for format and copy.
- User accepts defaults,
- Else user inputs different data.

DISPLAY HOLDINGS SCREEN
System displays holdings record, including:
- Title
- Format
- Location (call number)
- Total number of copies
- Instructions
- Next expected issue (default check-in data)
- Issues not received
- Outstanding claimed issues
- Issues at the bindery
- Last issue received

User may request MARC record display at any time with the M command.

CHECK-IN
If the issue in hand = the next expected issue,
- If enumeration is correct,
  - User checks-in issue by one keystroke acceptance code.
- Else user redefines enumeration.
  - System verifies enumeration.
    - If data does not fit publication pattern,
      - System displays error message.
      - User enters data again or slashes out.
    - Else system accepts data.
  - User checks-in issue with acceptance code.

PROMPT FOR ITEM DATA
System prompts to accept item defaults.
- User accepts item data,
- Else user edits item data.

If issue requires barcode, system prompts to wand or print barcode (parameterized).
If issue has routing queue, system generates routing slip.

ADDED COPIES
System prompts for additional copies.
If added copies exist, system prompts for copy number
(default = next sequential number).
System displays item data on each copy.
System continues at PROMPT ITEM DATA.

MISSING ISSUE RECEIPT
Else if issue in hand = issue not received,
User moves to not received column.
User browses items not received for proper record.
User checks-in issue.
System continues at PROMPT FOR ITEM DATA.

CLAIMED ISSUE RECEIPT
Else if issue in hand = claimed issue,
User moves to claimed issue column.
User browses claimed items until locating proper record.
User checks-in claimed issue.
System continues at PROMPT FOR ITEM DATA.

BOUND ISSUE RECEIPT
Else if issue in hand = bound receipt,
User moves to "At bindery" column.
User browses items to locate proper record.
User checks-in bound volume with barcode.
System continues at ADDED COPIES.

CLAIM CANCELLATION
Else if a claimed issue is no longer available,
User moves to claimed issue column.
User browses claimed items until locating proper record.
User cancels claimed issue.
System prompts user for cancel verification.
System continues at SYSTEM VERIFICATION.

SYSTEM VERIFICATION
System updates CAS holdings statement if issue = newest received.
System updates item statuses.
System updates claims queue as needed.
System updates statistics.
System deletes bindery queue record as needed.
System prints barcodes if required.

```
---------------------------------------------------------------------------
SERIAL CHECK-IN

TITLE: Bulletin of the American Society for Information Science
FORMAT: Hardcopy     LOCATION: Periodicals      TOTAL COPIES: 1
VENDOR: Faxon                                   FREQ: Bimonthly
INSTRUCTIONS: Route copy 1 internally before shelving.

ENUMERATION     NEXT       NOT      CLAIMED          AT        LAST
             EXPECTED  RECEIVED                  BINDERY    RECEIVED

VOLUME            20        20           19           17          20
NUMBER             6         5           12                       4
YEAR            1984      1984         1983         1981        1984
MONTH            JUN       MAY          DEC                      APR

ACTION           ___       ___          ___          ___

COPY: 1   BARCODE: Y   LAW OR GEN: G   TYPE: G   LOAN: 1  /
ADDED COPIES:     0/
SPECIAL ISSUE:


C=Check-in R=Redefine issue N=Cancel claim B=Browse queue F=Forward M=MARC
---------------------------------------------------------------------------
```

The above screen is the basic check-in screen for titles with three or less levels of enumeration. For four or more levels, see the alternative screen below.

To access the check-in record, the user inputs a search argument to retrieve the title needed. Once the title is selected, the system will prompt for the following default:

FORMAT: Hardcopy/

This default may be overridden to check-in another format (e.g. microfilm, etc.). However, in the majority of cases, the default will be acceptable to check-in the subscription copy of the journal in question.

The top portion of the check-in screen includes informational data which cannot be changed by the user. These data include the bibliographic title, format, location, total number of copies, the vendor from which the subscription is ordered, journal frequency, and instructions for the copy requested. This information should help the user decide if s/he has retrieved the correct record. If the record is the wrong one, the user may ^ or / out to start again. A MARC record may be displayed at any point by inputting the "M" command.

The cursor will be positioned in the "Action" field under the "Next Expected" issue column. In most cases, the user will simply want to check-in the copy in-hand, which will be the next predicted receipt. A single keystroke of "C" (=check-in this issue) affirms that the predicted issue is correctly enumerated and received. If the issue is incorrectly enumerated, the user inputs an "R" (=redefine issue) in the action field. The cursor will then be positioned over the first enumeration field to allow the operator to overwrite and redefine the numbering. The user will be forced to approve or edit each level of enumeration in the redefine mode. The system will verify that the new data input in redefine mode has not been previously input, and that the data conforms to the holdings pattern defined for that journal. If, while verifying this newly input data, the program detects a gap (e.g., the issue received is number 7 rather than number 6), the system will generate a potential claim record for the issue not received. Once the enumeration is accepted or edited, the cursor will be positioned after the item data (the line with the barcode, circulation category, loan period, and location data). If the user enters a RETURN, the defaulted information (from the Holdings records for this title and format) will be accepted. If, however, the user wishes to change any portion of the item data, s/he enters an "R" for redefining the data. The cursor will then be positioned over the "Copy" prompt, and the user will be forced to accept or edit each field on the line. If the site is profiled to wand barcodes, the system will prompt for the barcode as the last data element in the item data line. If the site is profiled to print a barcode, the system will do so after the check-in procedure is completed. Finally, the cursor will be positioned at the "Added copies" prompt to check in additional copies of the journal. If the user inputs a number of additional copies, the system will then return to the item record line for acceptance or editing of the item data. This will continue until all additional copies are checked in.

If there are no additional copies to check-in, a response of RETURN at the "Added copies" prompt will return the user to search mode to continue checking in other journal titles.

Of course, there are many other possible actions to take when checking in a received issue. If the issue in hand is a back issue, the user will want to check not received, claimed, and bindery issues before checking-in the issue. This is done by moving to the action field below the column desired (e.g. to the second action field to work with not received items.) Then the user may browse the list of issues with the status of not received. This is done by inputting a B (=browse) in the action field. The system will then rewrite the data on the screen under the not received heading with enumeration data for each issue identified as missing. The browsing will proceed from the oldest to the most recent issue, assuming replacement copies would come in sequentially. Each time the system displays enumeration data for another issue, the user has the option of checking-in the issue (C command), cancelling the claim on an issue (N command), or continuing to browse forward in the queue. At any time, when the user inputs "C", the cursor will drop to the item data for normal check-in procedures.

Whenever the user selects "R" to redefine the enumeration of an issue, the cursor will drop to the "Special issue" prompt after the enumeration is redefined. This gives the user a chance to input free-text data about the issue in hand (e.g. topical issue, special supplement, etc.).

If an issue has a routing queue attached, the routing slip will be generated before proceeding with added copies to check-in. The method used in the present subsystem, i.e. screen printing the slip, will be used in the new subsystem.

If a title is defined in the Holdings record as a serial which should be analyzed, the system will display a warning note to the user at the bottom of the screen, indicating that the issue should be sent to cataloging for analysis.

Note that bound issues returning from the bindery may be checked-in on the same screen. The same basic procedure will be used to check-in bound issues, except that the user will wand the barcode of a volume received at the "Action" prompt. (If a site does not barcode bound volumes, the "C" command will be required.) The user will then proceed through the added copies prompt as described above. Once a bound volume is checked-in, the bindery queue record is also deleted (see BINDERY MODULE description below).

If it is deemed necessary, the system may also have a "hidden" delete function (the X command) to delete and issue. This command would be used primarily with the missing issues never received. By making Delete a hidden command, it will not be readily apparent to the check-in operator that this can be done. The command will not be listed in the command line, and if delete is, indeed, selected as an operator, the system will verify that the user really wants to delete an issue by requesting a

"yes" input before the data is erased.

```
SERIAL CHECK-IN

TITLE: Journal of ambitious enumeration schemes
FORMAT: Hardcopy      LOCATION: Periodicals      TOTAL COPIES: 1
VENDOR: Double Bind Subscription Services      FREQ: Daily
INSTRUCTIONS: Make sure you double-check the number before accepting!

ENUMERATION      NEXT    NOT REC      CLAIMED      BINDERY     LAST REC

VOLUME              5          4            5                        5
SECTION             2          1            2                        2
PART                1          1            1                        1
NUMBER              5          1            5                        5
ISSUE              16          2            9                       15
PIECE               A          A            A                        B
YEAR             1984       1983         1984                     1984
MONTH             MAY        JAN          MAY                      MAY
DAY                16         02           09                       15
SERIAL (ALT1)     105        104          105                      105
NUMBER (ALT2)     137         02          130                      136
ACTION            ___        ___          ___          ___

C=Check-in R=Redefine issue N=Cancel claim B=Browse queue F=Forward M=MARC
```

The above screen is an alternative format for serials with four or more levels of enumeration. This example is for a worst case situation, in which all 6 levels of enumeration, all levels of chronology, and both levels of alternative enumeration are defined. In these special cases, the system will not display the item record information at the bottom of the screen. That data will only be displayed and prompted for when an issue is checked-in. In this way, enough space is reserved to display complete enumeration information. The system will otherwise behave the same way as described above.

ROUTING FUNCTION FILE STRUCTURES

In the existing version of ILS, routing list information is kept in the patron file and in the master bibliographic file. The present structuring of this data is inefficient and prevents editing of the names on each list. Online proposes to take the references to the routing list information out of the patron and MBF files and place them into current status indexes.

Global F contains all status indexes for items. A new subscript, "20", will be created for this file to hold routing list information as follows:

^F(20,BID.COPY) = One line of user-entered free text for the permanent routing list for this copy

^F(20,BID.COPY,"") = Maximum number of names to be put on each page of the routing slip.

^F(20,BID.COPY,0) = Last used priority number. Used in calculating the proper sequence number for the next name to be added to the permanent routing list for this copy.

^F(20,BID.COPY,Priority on List = [Patron ID (PID)]

^F(20,BID.COPY,"T") = One line of user-entered free text for the temporary routing list for this copy.

^F(20,BID.COPY,"") = Maximum number of names to be put on each page of the temporary routing slip.

^F(20,BID.COPY,"T",0) = Last used priority number. Used in calculating the proper sequence number for the next name to be added to the temporary routing list for copy.

^F(20,BID.COPY,"T",Priority on Temporary List = [Patron ID]

Global G is the patron status file. It is accessed quite frequently in reports. Online proposes to add a new subscript to this file, "14", to store routing list information for each patron as follows:

^G(14,PID,BID.COPY)

^G(14,PID,BID.COPY,"T")

ROUTING LIST PROCESSES

The functionality of the present ILS routing list function, Add Routing, will be retained in the new Serials Control Subsystem while being expanded to accommodate new data structures and editing capabilities.

The user will be able to create temporary and permanent routing lists for any defined serial copy. S/he will be able to add, edit, and delete names from the list at any time. The routing function will parallel the Reserve function in this respect. All changes to a routing list will be processed through the background filer.

The new file structures for routing information will allow ease of editing and will be a key factor in reducing the size of the patron (^M) and the master bibliographic (^S) files. A problem which was reported by ILS customers in the past concerning the system's failure to remove a patron's name from all routing lists after the patron was eliminated from the system in Patron Delete will be resolved in the new routing function.

The library staff will be able to input a one line free text message for each routing slip. This message may be edited at any time. Should the library staff discover that more than one line is needed, a maximum number of lines for the free text message should be determined in order to have as many names on the first screen of a routing list as possible. Library staff will most likely use the free text for local instructions for the copy being routed.

The Patron Status function of ILS will continue to provide a list of journal titles routed to each patron. The new file structure could also accommodate a Job Initiation report of routings, sorted either by patron or by title, in the future.

As with the present ILS SE function, routing slips will be formatted and generated on a screen as issues are checked-in. The printing of the slips will be optional, especially when older issues are being checked in but not routed for current awareness. The routing slips will be preformatted to allow for multiple pages per issues if the number of patrons per slip exceeds a library staff-determined number. The staff may input a different number for each copy. However, this prompt will only be given if the number of names on a list exceeds fifteen in order to reduce keying time for the staff.

Permanent routing slips will continue to function as they do in the present version of ILS. The staff may create a temporary routing list for a copy to be used as a "hold" or

"override" slip. Thus, if an issue is checked in, and data exists for a temporary list and a permanent list, the system will display the temporary list. As soon as this list is displayed to the user, the system will delete the temporary list information from the files, and the permanent list will again take precedence.

CLAIMS PROCESS

From a user's point of view, the following procedure should be used for working on the claims queue.

SEARCH THE QUEUE
User searches queue by one of three methods:
- Search by vendor look-up.
- Search by item look-up.
- Request next available claim in the queue.

System retrieves a list of hits.
User selects appropriate record.

DISPLAY RECORD
System displays a claim record, including:
- Vendor name
- Vendor Title ID
- Customer account number
- Format
- Serial title
  - Issue enumeration and chronology (repeatable)
  - Free text message (repeatable)

ACTION
System prompts for action:
- Approve the claim
- Add an issue to claim
- Delete an issue from claim queue
- Edit an issue to claim
- Postpone an issue claim
- Browse the claim queue
- Quit this record

APPROVE
User enters "Approval" command.
System prompts for vendor notes.
System updates statistics and generates a transaction.
System generates a print job.
System updates item status to = "Claimed".
User reviews next claim in queue
- Else user returns to ACTION level.

```
ADD A CLAIM
User enters "Add a claim" command.
System prompts for enumeration and chronology by publication
    pattern definition.
System verifies data.
    If data is invalid,
         System displays error message.
         User is prompted to re-enter data.
    Else system accepts data.
User returns to ACTION level.

DELETE
User enters "Delete item" command.
System asks for confirmation.
    User enters Y
         System updates statistics and generates a transaction.
    Else user enters N
User returns to ACTION level.

EDIT CLAIM
User enters "Edit" command.
For each level of enumeration or chronology,
    System prompts for acceptance or editing.
         User inputs new data.
              System verifies new data.
                   If edited data is invalid,
                        System displays error message.
                        User is prompted for new data.
                   Else system accepts data.
                   System returns to next level.
         Else user accepts present value.
         System returns to next level.
User returns to ACTION level.

POSTPONE
User enters "Postpone claim" command.
    System prompts, "Number of days to postpone claim:"
    User enters number of days to postpone claim.
    System generates claim date.
    System updates statistics and generates a transaction.
    System updates item status.
User returns to ACTION level.

BROWSE QUEUE
User enters Browse Queue command to see next item record.
System displays next issue in queue.
User returns to ACTION level.
```

QUIT
User enters "Quit this record" command.
User returns to "What do you wish to do?" prompt.
User enters <Return> to ask for next record in retrieval set.
    System displays next record.
    User enters ACTION level.
Else user enters a search argument to re-search the file.
    System returns to SEARCH THE QUEUE level.
Else user enters "Quit the claim queue" command.
    User returns to subsystem level.

```
---------------------------------------------------------------------------
CLAIMS QUEUE                          What do you wish to do?

TITLE:  Bulletin of the American Society for Information Sciene
IMPRINT:  Washington, DC:  ASIS
ISSN: 0095-4403  CODEN: BASICR  OCLC: 00000000  FORMAT: Hardcopy
VENDOR: FAXON    [Title has multiple vendors]
ACCOUNT #:  1234567890          VENDOR TITLE ID: 0000000000

ENUMERATION       FIRST      SECOND      FINAL        NEVER
                  CLAIM       CLAIM      CLAIM      RECEIVED

VOLUME              20                     19
NUMBER               5                     12
YEAR              1984                   1983
MONTH              MAY                    DEC
COPY                 1                      1
DATE CLAIMED                          05/18/84

ACTION            ___        ___        ___          ___

VENDOR NOTE:

C=Approve claim A=Add X=Delete E=Edit P=Postpone B=Browse queue F=Forward
---------------------------------------------------------------------------
```

The claims queue screen will look and behave similar to the check-in screen defined previously. The above screen will be used for titles with three or less levels of enumeration. For four or more levels, see the alternative screen below.

To access the claim queue, the user inputs a search argument to retrieve the record desired. Look-up may be done either by title or by vendor, by a mechanism similar to that presently used by the ILS for item look-up.

The top portion of the claim record cannot be changed by the user. These data include the bibliographic information, format, vendor, and various vendor identification numbers. This information helps the user identify the title and subscription correctly. If the record is not the one desired, the user may ask to re-search the queue for another record.

The cursor will be positioned in the "Action" field under the "First Claim" issue column. In most cases, the user will simply want to approve this issue for claiming. A single keystroke of "C" (=approve this claim) affirms that the issue is correctly enumerated and indeed not received. If the issue is incorrectly identified, the user may input an "E" (=edit the issue information) in the action field. The cursor will then be positioned over the first enumeration field to allow the operator to overwrite and redefine the issue. The user will be forced to edit or accept each level of enumeration in the edit mode. Then, when the user has completed the issue identification, the cursor will return to the "Action" field, at which time the user may Approve the claim.

Whenever the operator approves a claim, the cursor will drop to the VENDOR NOTE field to allow input of a free-text message to the vendor about that particular issue. This message will appear on the claim notice each time it is sent out. If a message already appears, the user will be able to overwrite it with another message, or simply accept it as-is.

If the user selects the action, "Postpone," s/he will have a chance to delay or postpone this particular claim notice for a given number of days. The system will position the cursor on the error message line at the bottom of the screen and prompt for: NUMBER OF DAYS TO DELAY CLAIM: ___. The user will input the number of days. The DATE CLAIMED will then reflect this future day for informational purposes. The cursor will then return to the "Action" prompt to continue.

Once the "First Claim" issue is approved, if their are more first claim candidates in the queue, the system will display the enumeration information for the next item in the queue. The user will then repeat the process described above.

If there are no more items in the First Claims queue, the system will then place the cursor under the "Second Claim" column and repeat the same steps as above. This will continue for each column of data, unless the user exits the record. Note that there will be as many columns for subsequent claims as will fit on the screen. If the user needs to define more claims than will fit on this screen, a second screen for the fourth, fifth, etc. claims will be formatted and displayed.

The top level prompt, "What do you wish to do?" will allow the user to select a next action after this particular record is completed or exited. The user may view the next record in his/her retrieval set, quit the claim queue, or re-search the claim file.

```
CLAIM QUEUE                          What do you wish to do?

TITLE: Journal of ambitious enumeration schemes
IMPRINT: New York: Convoluted Publishers, Inc.
ISSN: 0000-0000  FORMAT: Hardcopy  VENDOR TITLE ID: 0000000000
VENDOR: Convoluted Publishers      ACCOUNT #:  9876543210

ENUMERATION        FIRST      SECOND      FINAL      NOT RECVD
VOLUME               4           5
SECTION              1           2
PART                 1           1
NUMBER               1           5
ISSUE                2           9
PIECE                A           A
YEAR              1983        1984
MONTH              JAN         MAY
DAY                 02          09
SERIAL (ALT1)      104         105
NUMBER (ALT2)       02         130
COPY                 1           1
DATE CLAIMED   05/20/84
ACTION             ___         ___        ___          ___

C=Approve claim A=Add X=Delete E=Edit P=Postpone B=Browse queue F=Forward
```

The above screen is an alternative format for serials with four or more levels of enumeration. This example is for a worst case sitatuation, in which all 6 levels of enumeration, all levels of chronology, and both levels of alternative enumeration are defined. In these special cases, the system will not display the Coden, OCLC number, and VENDOR NOTE prompt when the screen is first displayed. The VENDOR NOTE will be prompted for at the bottom of the screen whenever an issue is approved for claim. The Coden and OCLC number will not be displayed to save space, but will be printed on the notices if required. Otherwise, the system will behave as described above.

OUTPUTS

All outputs listed below, both hardcopy and online reports and notices, will be specifically formatted with the Pentagon librarians during the implementation cycle. The following list enumerates the data elements required for each output, but does not detail a specific format for reporting.

VENDOR PERFORMANCE REPORT

The Vendor Performance Report will be an online report which can also be screen printed if desired. Users will be able to select a specific vendor or all active vendors. For each vendor, the display will include:

- Number of current subscriptions
- Number of claims sent
- Percentage of claims filled
- Average turnaround time between claim date and receipt date
- Number of subsequent claims sent
- Percentage of unfilled claims

CLAIMING ACTIVITY

This will be an online report, suitable for screen printing as well. The user will define a specific date range for which data should be reported. Data elements displayed will include:

- Number of claims placed
- Number of claims filled
- Number of subsequent claims placed
- Claim fill rate
- Average time from claim date to receipt date
- Number of items declared missing
- Vendors to whom claims were issued
- Percentage of claims per vendor

Whenever the group vendor screens are redisplayed, the vendors will be listed in alphabetical order by name. To delete a group vendor, at the "VENDOR: " prompt, the user will simply enter a "D" concatenated with the index number which is to the left of the vendor's name.

After the user has finished entering the group vendor data, the system will return to the prompt, "Do you wish to enter C)oupon Data, D)iscount Data, or G)roup Vendor Data?"

CLAIM NOTICE

This printed notice will be generated for a vendor and will include several titles and issues to be claimed on one slip. The notice will include:

Vendor name and address
Library name and address
Date sent out

For each title on the notice, the slip will report:

Issue enumeration and date
Number of claim
Free text message

If a vendor is parameterized to accept phone claims instead of mailed notices, a special version of the above notice will be generated with the following data:

Vendor name and phone number
Title to claim
    Issue enumeration and date
    Number of claim
    Free text message

PRE-CLAIM REPORT

This will be a printed report for items not received which should potentially be claimed. It is intended to be a list of items which should be searched on the shelves prior to actual claiming. The user may request sorting of this report either by title or call number, depending upon the shelf arrangement on site. For each title listed, the following data is reported:

Issue enumeration and date

UNFILLED CLAIMS REPORT

This will be a printed report for all items which were claimed but which were never received. It is intended to assist librarians in the decision to declare certain items missing or to attempt ordering them from out-of-print dealers. The list may be sorted either by title or by call number. For each title reported, the report will include:

Issue enumeration and date
Number of times claimed
Vendor

BINDERY INSTRUCTION RECORDS

For titles which are regularly bound, the new subsystem will allow users to create Bindery Instruction Records for each title. These records will provide the information needed to predict binding units, to track issues at the bindery, and to identify processing data to the binder. Some fields will be required for control purposes, while other fields will be site-specific for local processing needs. Because the nature of the contents of these records is so variable, the Patron Question List and Patron Registration software will be used to define and to maintain records for the bindery. The new generalized screen display software will not be used here due to the extent to which variable data may be required in bindery instruction records.

Any serial holding record which includes a Retention Code = "Bound" (see section on HOLDINGS ADD/EDIT) may have a bindery instruction record created for it. Note that the Retention Code must be properly set before a bindery record may be created. This is done for control purposes.

The following data will be required in the Bindery Instruction Record:

Bindery ID
Bindery Category
Number of copies
Number of issues received per bindery unit
Enumeration level completed per bindery unit
Number of days after last issue received before binding
Special instructions to bindery
Overdue interval

The system will also supply a standard list of questions which are optional to the records but which are frequently used for bindery instructions. These optional questions shall include the following:

Bind title page?
Bind table of contents?
Bind index in front, in back, or delete?
Remove ads?
Remove front covers?
Remove back covers?
Color of binding
Color of lettering
Title on spine

The system will also allow each site to define its own questions required for bindery instructions. The mechanism to define these questions shall be the same as is presently used in the Patron Question Definition function (PQ), including the ability to create different question lists for different categories of binderies. This capability will be particularly useful for sites which wish to track titles which are replaced by microform in lieu of binding. A special Bindery Category equal to "Microform" will be created to allow sites to define bindery instruction records for titles which they wish to monitor for ordering on microfilm or microfiche.

Data entry for Bindery Instruction Records will behave the same way that Patron Registration presently does (PR function). The user will search for a serial title and, if the title does not yet have bindery data created, will be prompted to create a Bindery Instruction Record. If the title already has bindery data created, the record will be displayed and the user will have the chance to edit any field in the record. Once a record has been created, the control data for predicting the next bindery unit will become effective.

A sample bindery record may appear as follows:

BINDERY ADD/EDIT

TITLE: Bulletin of the American Society for Information Science
BINDERY ID: 10
BINDERY CATEGORY: Bound
NUMBER OF COPIES: 1
NUMBER OF ISSUES RECEIVED PER BINDERY UNIT: 6
ENUMERATION LEVEL COMPLETED PER BINDERY UNIT: Volume
NUMBER OF DAYS AFTER LAST ISSUE RECEIVED BEFORE BINDING: 30
OVERDUE INTERVAL: 90
BIND TITLE PAGE? Y
BIND TABLE OF CONTENTS? Y
BIND INDEX IN FRONT, IN BACK, OR DELETE? F
REMOVE ADS? N
REMOVE FRONT COVERS? Y
REMOVE BACK COVERS? Y
COLOR OF BINDING: 5
COLOR OF LETTERING: 1
TITLE ON SPINE: Bulletin, ASIS
SPECIAL INSTRUCTIONS TO BINDERY:

FILE? Y

Once a Bindery Instruction Record has been filed, that title will be automatically tracked by the Binding module and will be placed in the bindery queue as soon as the first bindery unit is identified.

TITLES REPLACED BY MICROFORMS

For title which are regularly replaced by microfilm or microfiche editions, a bindery instruction record should also be created to prompt the library when to order the replacement edition, and when to replace individual item records with microform volume item records. Any title which include a Retention Code equal to "Retained until replaced by microform" must have a bindery instruction record created for it. A typical bindery record for these special cases must have the Bindery Category set to equal "Microform." A sample record, which will necessarily be brief due to the lack of page binding instructions, may look like the following:

BINDERY ADD/EDIT

TITLE: Library Technology Reports
BINDERY ID: 11
BINDERY CATEGORY: Microform
NUMBER OF COPIES: 1
NUMBER OF ISSUES RECEIVED PER BINDERY UNIT: 12
ENUMERATION LEVEL COMPLETED PER BINDERY UNIT: Volume
NUMBER OF DAYS AFTER LAST ISSUE RECEIVED BEFORE BINDING: 365
OVERDUE INTERVAL: 90
TYPE MICROFORM: 16mm negative roll, 35X reduction ratio
SPECIAL INSTRUCTIONS TO BINDERY:

FILE? Y

Titles which are due to be ordered on microform will appear in the bindery queue for review along with regularly bound titles. Usually, these titles will be ordered from a different source (i.e. Bindery ID) and will be retrievable by a different Bindery ID. Bindery ID's are actually links to the Vendor file, and will be searched via the vendor look-up software. Microform titles will be handled through the bindery module in the same manner as regularly bound titles, except for the fact that the instruction records, as described above, may be different.

ACCESSING THE BINDERY QUEUE

From the user's point of view, the following procedure will be used when working with the bindery queue.

SEARCH THE QUEUE
User searches the queue by one of three methods:
- Search by title look-up.
- Search by bindery look-up.
- Request next available title in the queue.

System retrieves a list of hits.
User selects appropriate record.

DISPLAY RECORD
System displays a bindery record, including;
- Bindery name
- Bindery category
- Shipment number
- Free text message
- Customer account number
- Shipment date
- Bindery unit enumeration and chronology
- Serial title
  - Issue enumeration and chronology (repeatable)

FUNCTIONAL COMMAND
System prompts for action:
- Approve the entire record
- Remove a title from the bindery queue
- Edit a bindery record
- Add an item to a record
- Postpone a title for the bindery
- View next record in the queue
- Re-search the queue
- Quit the queue

```
APPROVE
User enters "Approval" command.
System prompt for deletion of individual item records.
    User deletes item record with "Y" or wanding barcode.
    Else user skips to next item record.
System prompts for acceptance of new bindery unit item record.
    User approves item record.
    Else user edits item record for proper enumeration.
System displays subsequent screens of user-defined data.
    User edits data.
    Else user files data.
System updates statistics and generates a transaction.
System deletes individual item records.
System sets item status to = "At Bindery."
System generates print job.
User returns to FUNCTIONAL COMMAND level.

DELETE TITLE FROM QUEUE
User enters "Delete" command.
    System updates statistics and generates a transaction.
User returns to FUNCTIONAL COMMAND level.

EDIT RECORD
User enters "Edit" command.
System prompts "What do you want to edit?"
    If user enters line number of data element to edit,
         If field in unprotected, system prompts for new data.
         Else system displays error message.
              User returns to "What do you want to edit?"
         User enters new data.
         System verifies new data.
              If edited data is invalid,
                   System displays error message.
                   User is prompted for new data.
              Else system accepts data.
         System updates transaction log and statistics.
         User returns to "What do you want to edit?"
    Else user enters <Return>.
         System returns to FUNCTIONAL COMMAND level.

ADD AN ITEM TO THE NOTICE
User enters "Add an item" command.
System prompts for enumeration and chronology data following
    publication pattern definition.
    User enters data.
    System verifies data.
         If data is invalid,
              System displays error message.
              User is prompted to re-enter data.
         Else system accepts data.
    System updates transaction log and statistics.
    System updates item status.
```

POSTPONE TITLE FOR BINDERY
User enters "Delay binding" command.
System prompts for "Postponement interval:"
    User enters number of days to postpone shipment to bindery.
System updates statistics and generates a transaction.
User returns to FUNCTIONAL COMMAND level.

VIEW NEXT RECORD
User hits <Return> to ask for next record.
System displays next record in retrieval set or queue.
User returns to FUNCTIONAL COMMAND level at end of set.

RE-SEARCH FILE
User enters a search argument to re-search the file.
System returns to SEARCH level.

QUIT
User enters Q to exit the function entirely.
User returns to subsystem level.

```
BINDERY QUEUE                          SCREEN  1
                                       What do you wish to do?

TITLE: Bulletin of the American Society for Information Science
BINDERY: Capitol Bindery Group   CATEGORY: Bound
ACCOUNT #: 1234567890      SHIPMENT #: 1      SHIP DATE:

BINDERY UNIT: VOLUME 18  1982
                                                                  DELETE
REF  VOLUME   NUMBER   MONTH  YEAR   DELETE ITEM:
-------------------------------------------------------------------------
1.       18        1     JAN  1982
2.       18        2     MAR  1982
3.       18        3     MAY  1982
4.       18        4     JUL  1982
5.       18        5     SEP  1982
6.       18        6     NOV  1982

7.  SPECIAL INSTRUCTIONS:



V=Approve X=Delete E=Edit A=Add item P=Postpone B=Browse queue F=Forward
-------------------------------------------------------------------------
```

When a user retrieves a record in the bindery queue, a display similar to the one above will appear, regardless of whether access was gained by title look-up, bindery look-up, or paging through the queue. The screen supplies brief title and bindery identification information which cannot be edited here (done via Edit Item or Bindery Add/Edit). Individual issues which are ready for binding are identified by enumeration and chronology (and copy/locational data if present in items) so a screen may be printed off as a shelf pull slip. If special instructions existed for the binder, they would also appear; otherwise, they may be added here.

When the above screen in retrieved, the cursor will be positioned at the prompt, "What do you want to do? The choice of actions is summarized on the last line of the screen, and is detailed in the structured English above.

If the user selects "V" for an action, the system will then prompt for deletion of each individual item. The cursor will be positioned under the DELETE ITEM column of the first item, and the user will be prompted to wand in the barcode of the issue being shipped to the bindery. If the barcode does not match the copy as defined on the screen, the user will be warned of the inconsistency and re-prompted for the barcode. (Note that a user may edit the item record to conform to the issue in hand, usually to change the copy number.) Upon entry of the first item barcode, the system will subsequently position the cursor on each succeeding item line, prompting for the barcode of each issue which is being shipped to the bindery and which should have its own copy record deleted. The actual item deletions will not occur until the entire function is completed. (Note that for sites which do not barcode items, when the user is prompted to DELETE ITEM, s/he must enter a "Y" for deletion of each item record.)

At any time, if the user chooses the command "E" to edit any field, the prompt will change to "What do you want to edit?" The user will then input the reference number of the data element which needs modification. The cursor will then be positioned over that data element for overwriting or acceptance. Note that an entire line may not be editable.

If all the items which are ready for the bindery cannot fit on the above screen, the message (MORE) will appear at the bottom and the user may browse through the list of items for review. Additional items will appear in a window in the middle of the screen, retaining the data at the top and bottom of the screen for informational purposes.

If the user wishes to remove the title from the bindery queue entirely, the "X" (Delete) command is issued. The system will remove the record from the queue and flag the record for completion of this bindery cycle.

If the user wishes to delay shipment of this title (for example, to wait for receipt of issues presently unavailable) to the bindery, s/he should choose the "Postpone" option. The system will then prompt the user to input NUMBER OF DAYS TO DELAY SHIPMENT: ___. The SHIP DATE will then appear in the record, calculated from today's date.

```
BINDERY QUEUE                          SCREEN  1
                                       What do you wish to do?

TITLE: Bulletin of the American Society for Information Science
BINDERY: Capitol Bindery Group   CATEGORY: Bound
ACCOUNT #: 1234567890      SHIPMENT #: 1      SHIP DATE: 06/30/84

BINDERY UNIT: VOLUME 18  1982

REF  VOLUME   NUMBER   MONTH  YEAR   DELETE ITEM:
-------------------------------------------------------------------
1.       18        1     JAN  1982
2.       18        2     MAR  1982
3.       18        3     MAY  1982
4.       18        4     JUL  1982
5.       18        5     SEP  1982
6.       18        6     NOV  1982

7.  SPECIAL INSTRUCTIONS:



V=Approve D=Delete E=Edit A=Add item P=Postpone B=Browse queue F=Forward
-------------------------------------------------------------------
```

A bindery shipment notice will not be generated for this title until the shipment date is reached. (Note that generation of bindery notices is done via the usual JI function.)

Shipment dates will appear on bindery records only when a notice has been generated (a record must be approved before being placed in the notice queue) or when a delay date is defined. Users will know that a record has not yet been approved if a SHIPMENT DATE is not present.

Once the user Approves the record (V) and has deleted all item records for the unit, the cursor will be positioned at the BINDERY UNIT line. The user must accept or edit the new item record which replaces the individually deleted item records by indicating either V or E:

```
    BINDERY UNIT: VOLUME 18  1982   V or E/
```

If the user wishes to edit the data, s/he will be prompted for each defined level of enumeration and chronology. Otherwise, once the unit is approved, the system will then format and provide subsequent screens of instructions and locally-created questions. These data elements may be edited each time a unit is sent to the binder. A sample screen is provided below.

BINDERY QUEUE	SCREEN 2 What do you want to edit?
1. BIND TITLE PAGE?	YES
2. BIND TABLE OF CONTENTS?	YES
3. BIND INDEX?	IN FRONT
4. REMOVE ADS?	NO
5. REMOVE FRONT COVERS?	YES
6. REMOVE BACK COVERS?	YES
7. COLOR OF BINDING	5
8. COLOR OF LETTERING	1
9. TITLE ON SPINE	Bulletin, ASIS

This second screen lists the remaining questions present in the title's bindery instruction record. The data may be changed here for this particular bindery order, but will not be permanently changed in the bindery instruction record. To make a permanent change, the user must edit the actual instruction record, not the bindery queue record, via Bindery Add/Edit.

The cursor will be positioned at the prompt, "What do you want to edit?" Note that the commands valid on the first screen of the bindery queue record (approve, delete, postpone, etc.) are not relevant here; the user may only edit the data here. The user will input the reference number of the data element s/he wishes to work on, and the cursor will then be positioned over that data for overwriting or acceptance. This process will continue until the user indicates completion with a <RETURN>. If there is another screen of questions, it will appear at this time; otherwise, the system will then display the first screen of the next bindery queue record in the user's retrieval set.

Once a bindery notice is generated, and a shipment is sent to the binder, the bindery queue record will still be available for the user to review:

```
--------------------------------------------------------------------------------
BINDERY QUEUE                          SCREEN  1
                                       What do you wish to do?

TITLE: Bulletin of the American Society for Information Science
BINDERY: Capitol Bindery Group   CATEGORY: Bound
ACCOUNT #: 1234567890      SHIPMENT #: 1      SHIP DATE: 06/30/84

BINDERY UNIT: VOLUME 18  1982

REF  VOLUME   NUMBER   MONTH  YEAR   COPY  STATUS
--------------------------------------------------------------------------
1.      18       1     JAN  1982      1   AT BINDERY
2.      18       2     MAR  1982      1   AT BINDERY
3.      18       3     MAY  1982      1   AT BINDERY
4.      18       4     JUL  1982      1   AT BINDERY
5.      18       5     SEP  1982      2   AT BINDERY
6.      18       6     NOV  1982      1   AT BINDERY

7.  SPECIAL INSTRUCTIONS:



V=Approve X=Delete E=Edit A=Add item P=Postpone B=Browse queue F=Forward
--------------------------------------------------------------------------------
```

This record will remain in the queue for monitoring of bindery status, for potential generation of overdue notices to the bindery, and until the new bound volume is checked in. The record is no longer editable, but the user may page through the record for informational purposes.

Note that although each individual issue is still listed on the above screen as "At Bindery," these item records no longer exist in ILS. Rather, they have been replaced by the "bindery unit" item record for Volume 18, 1982. The online catalog will only list this one item, not the individual issues, as "At Bindery."

Once the newly bound volume is received, it may be checked-in via the serials check-in function. At that time, this bindery queue record listed above will be automatically deleted from the system. For more detail, see the section of this document on the CHECK-IN. MODULE.

```
BINDERY QUEUE                          SCREEN  1
                                       What do you wish to do?

TITLE: Journal of ambitious enumeration schemes
BINDERY: Capitol Bindery Group   CATEGORY: Bound
ACCOUNT #: 1234567890      SHIPMENT #: 3     SHIP DATE:

BINDERY UNIT: VOLUME 3 SECTION 1 PART 1 NUMBER 1  1983

REF   VOL   SEC    PT    NO   ISS      DATE  DELETE ITEM:
-------------------------------------------------------------------
1.      3     1     1     1     1  01/01/83
2.      3     1     1     1     2  01/02/83
3.      3     1     1     1     3  01/03/83
4.      3     1     1     1     4  01/04/83
5.      3     1     1     1     5  01/05/83
6.      3     1     1     1     6  01/06/83
7.      3     1     1     1     7  01/07/83
8.      3     1     1     1     8  01/08/83
9.      3     1     1     1     9  01/09/83
(MORE)

V=Approve X=Delete E=Edit A=Add item P=Postpone B=Browse queue F=Forward
-------------------------------------------------------------------
```

The above screen is the bindery queue record for those titles with an enumeration of four or more levels. The data is more compact, and abbreviated where possible to fit as much significant data as possible on one screen. The user interface behaves the same as described above, except that the SPECIAL INSTRUCTIONS data element will not appear until the user has paged through the items in the screen window to the end of the issue list. Subsequent screens of instructional questions will also be displayed upon approval of the first screen.

OUTPUTS

All outputs listed below will be specifically formatted with the Pentagon librarians during the implementation cycle. The following list enumerates the data elements required for each output, but does not detail a specific format for reporting. Each report also must be prioritized for implementation.

BINDERY ACTIVITY REPORT

Thhis will be an online report suitable for screen printing. The user will define start and end dates for the reporting period. Data elements will include:

- Number of title sent to the bindery
- Number of title received from the bindery
- Number of titles overdue from the bindery
- Average turnaround time between date sent to bindery and date received from bindery

BINDERY NOTICE

This is the printed notice which will be sent to the bindery with multiple titles to be bound. A separate notice will be generated for each bindery. The notice must include the following header data:

- Bindery name and address
- Library name and address
- Customer account number
- Date shipped
- Shipment number

For each title being shipped for processing, the notice will report:

- Issue enumerations and dates
- Bindery unit enumeration and date for spine
- User-defined data for binding instructions (varies)

OVERDUE BINDERY NOTICE

This is a printed notice to sent to a binder who is late in returning processed titles. The notice must include:

- Library name and address
- Vendor name and address
- Customer account number
- Shipment date
- Shipment number
- Free text message

For each delinquent title, the notice will list:

- Issue enumerations and dates
- Bindery unit enumeration and date
- User-defined data (varies)

BINDERY CANDIDATES REPORT

This printed report will list titles and issues which are predicted for bindery shipment but are not yet sent. The report is intended to assist staff in pulling items from the shelves for shipment. The report will include the same data as in the bindery queue records illustrated above. The report may be sorted either by title or call number. For each title listed, the following data will be reported:

- Issue enumerations and dates
- Location (if present in copy record)
- Copy information
- Availability

VENDOR FILE STRUCTURES

The ILS Serials Control Subsystem will include two vendor information files. These files will be designed to be used by the Serials Control Subsystem as well as other ILS subsystems such as Acquisitions and Property Management. The term "vendor" is used generically to include all suppliers, publishers, jobbers, associations, donors, exchange sources, etc. The first file, the Vendor File, will be used for the storage of vendor registration information, such as vendor name, point of contact, telephone number, etc. The second file, the Vendor Parameter/ Status File, will store each vendor's parameterized data, such as claim and cancellation intervals. This file will also store each vendor's performance statistics.

The Vendor File will be created through the Vendor Registration function which will use software that is very similar to the current ILS Patron Registration function software. Certain questions will be required for each vendor, but other questions may be added, edited, and deleted by the library staff. The internal structure of the vendor data will also allow the library staff to define different vendor address formats for the various outputs of the Serials Control Subsystem.

Vendor registration information will be separated from parameter/status information for the following reasons:

1. In order to allow certain data elements to be repeatable a separate file is needed so that the patron registration software may be adapted for vendor registration. The software cannot presently support repeatable data elements for individual registration questions.

2. It is desirable to keep performance data in a separate file since this data is manipulated by the system rather than by the user. Vendor performance statistics will be accessible to the user through displays and MIS reports, but will not be subject to user edit. Vendor parameters will be initialized by the user and changed infrequently through a function shared with the Acquisitions Subsystem, the Vendor Parameter/Status function. However, the system will have constant interaction with these parameters.

3. Parameterized data, performance data, and "group vendor ID" data may not apply to all types of vendors. The "group vendor ID" is the method by which a vendor record may be linked to other vendor records to indicate that another company handles a particular vendor's stock. For example, a publisher may be listed in the vendor files as a direct source, but may also have several jobbers who handle that inventory. The group vendor ID will be repeatable to

indicate a choice of alternative sources. However, the group vendor ID data is unnecessary for certain vendor categories, such as "Donor." More important, other ILS subsystems such as Property Management and Acquisitions will share the Vendor File with the Serials Control Subsystem. While all subsystems with vendors will need to store vendor registration information, not all subsystems will require parameterized data, performance data, or group vendor ID data.

Because multiple titles are often acquired from a single source, the storage of source information in the Vendor File will reduce data redundancy across bibliographic records and will thereby eliminate unwanted expansion of the master bibliographic file. Changes in vendor addresses, parameters, etc., can be accomplished much more rapidly and efficiently by editing the data in either the Vendor Registration function or the Vendor Parameter/Status function instead of in each affected serial record.

Just as the ILS presently supports the creation of multiple types of patrons, the proposed Vendor Registration function will allow the user to define multiple types of vendors. This vendor type data element will be called the Vendor Category. The Serials Conrol Subsystem will provide some default categories, such as "Publisher" and "Jobber". The user will be able to create individual questions for each type of vendor category, in addition to the questions which are required by the system. The Define Address (/DA) function will be expanded to allow the user to work with either the Patron File or the Vendor File in defining different addresses for various ILS outputs.

When a new vendor is registered, the system will automatically generate an internal Vendor ID (VE) which will serve as a unique identifier for the vendor in all ILS software. The Vendor ID's will serve as the link between the serial records and the vendor files.

For discussion purposees, the Vendor File will be referred to as ^PV, and the Vendor Parameter/Status File will be referred to as ^PV1. A decision has not yet been made by Online as to whether ^PV1 will carry both acquisitions and serials parameter/ status information or whether the information will be carried in separate files, such as ^PV1 and ^PV2. The data, however, will have the same structure whether it is stored in one or two global files. Storing the information in one file will reduce the proliferation of files in the ILS. Storing the information in separate files would help avoid the creation of an extremely large file for vendor parameter/status information. There would be no difference in programming effort for one file versus two files.

^PV Vendor File

This sample Vendor Registration File illustrates the data elements which will be required by the system. Other data elements pertaining to individual vendor categories may be defined at the user's option in the Vendor Question Definition (/VQ) module. This module will be similar to the present ILS Patron Question Definition (/PQ) module. The Define Address (/DA) function of ILS will be modified so that both vendor and patron addresses may be defined for various ILS outputs.

^PV="Vendor File"

^PV("")=Last Vendor ID (VE) Used

^PV(VE,1)=Vendor Name (Required)

^PV(VE,2)=Vendor Category (Required)

^PV(VE,3)=Small Business Indicator--YES/NO (Required for Acquisitions)

^PV(VE,4)=Organization Level--Selected from system dictionary entries to distinguish vendors with the same name (Required)

^PV(VE,5)=Status--Selected from dictionary entries such as "Active", etc. (Required)

^PV1 Vendor Parameter/Status File

The following illustrates the structure of the Vendor Parameter/Status File as it will exist if serials and acquisitions data are grouped together.

^PV1="Vendor Parameter/Status File"

^PV1(VE)=[Primary group vendor] [Secondary group vendor]

^PV1(VE,0)=[VE] [VE] [VE] } Up to MIIS string limit (@ 200 characters or 60 Vendor ID's) from which to choose the primary and secondary group vendor to handle this vendor's orders. Updated through the Vendor Parameter/Status module.

^PV1(VE,1,POID)=[NPO] [NPA] [NPA] } This node represents a link to the internal purchase order ID (POID) and the library-defined numbers for a purchase order (NPO) and its amendments (NPA). The node will support up to the MIIS string limit (@ 200 characters or 60 NPAs if applicable); otherwise, it will be null.

^PV1(VE,2)=[Claim Form for Monographs] [Claim Form for Serials] [Default Claim Period for Monographs] [Default Claim Period for Receipt of 1st Issue of a Serial Subscription] [Default Claim period for Receipt of 2nd and Subsequent Issues of a Serial Subscription] [Default Cancellation Interval for Monographs] [Default Cancellation Interval for Serials] [Default Shipment Code (STC)] [Maximum Order $] [Maximum Order Number (of Items)] [Maximum Order Number (of Subscriptions)] [Minimum Order $] [Minimum Order Number (of Items)] [Minimum Order Number (of Subscriptions)] [Type of Order Form] [Discount Coupon Flag] [Standard Discount Flag]

^PV1(VE,3)=[Value;Value;Value...] [No. of Coupons;No. of Coupons;No. of Coupons...] } These two stacked pieces may total up to the MIIS string limit. Each dollar value in the first piece will correspond to a number in the second piece. Together they will indicate how many coupons of a certain dollar value are in the library's possession.

^PV(VE,4)=[Standard Threshold Amount;Standard Threshold Amount; Standard Threshold Amount...] [Flag/Standard Discount Rate; Flag/Standard Discount Rate; Flag/Standard Discount Rate . . .] } These two stacked pieces may total up to the MIIS string limit. Each threshold amount will have a corresponding discount rate. For example, an order totaling $100 to $199.99 may entitle

the library to a discount rate of 10%, while an order $200 or above may allow a discount rate of 15%. A flag will correspond to each Standard Discount Rate to indicate whether the rate is a percentage of the total order or a fixed monetary amount.

^PV1(VE,5)=[Total No. of Purchase Orders (NPOs)] [Last NPO sent] [Last NPO Date] [No. of Outstanding NPOs]

^PV1(VE,6)=[Total No. of Purchase Order Amendments (NPAs)] [Last NPA sent] [Date of Last NPA] [No. of Outstanding NPAs]

^PV1(VE,7)=[Avg. Turn Around Time from Order Date to Date Recd. (DRX) for Monos.] [Avg. Turn Around Time from Order Date to Date Recd. (DRX) for 1st Issue of New Serial Subscription] [Avg. Difference Between Encumbered and Actual Prices] [No. of Backorders] [No. of Claims--Monographs] [No. of Filled Claims--Monographs] [No. of Returned Items (Monos.)] [No. of Damaged Issues (Serials)]

^PV1(VE,8)=[SID] [SID] [SID] } Up to MIIS string limit (@ 200 characters or 60 subscription ID's (SID's) which serves as a list of the library's serial subscriptions which are supported by this vendor.

^PV1(VE,8,YYMMDD)=[No. of Claims (Current)] [No. of Filled Claims (Current)] [No. of Follow-ups (Current)] [No. Claims Declared Missing (Current)] [No. of Filled Claims (Retrospective)] [No. of Follow-ups (Retrospective)] [No. of Claims Declared Missing (Retrospective)] [No. of Days to Fill Claim (Retrospective)]

VENDOR REGISTRATION

The Serials Control Subsystem, along with the Acquisitions Subsytem and the Property Management Subsystem, must accommodate the entry of vendor registration information. The ILS Patron Registration and Patron Question Definition software will be modified to support vendor registration. An outline in the form of proposed ILS screens follows.

SERIALS CONTROL SUBSYSTEM
VENDOR REGISTRATION

VENDOR NAME: R. R. Bowker Company
VENDOR CATEGORY: ?

INDEX	CATEGORY NAME
1	PUBLISHER
2	JOBBER

(END) Enter an index number or a vendor category: __

The previous screen illustrates that the system prompted for VENDOR NAME and that the user entered "R. R. Bowker Company". The system performed a syntax check and searched the cross index of vendor names for a match of the user's input. No match was found, but if one or more matches had been located, the system would have displayed a table of the matches. The user would have been able to select one of the table entries or would have input the word "NEW" to indicate that this vendor name was not related to any of the matches. If a table entry had been selected, the system would have displayed all of that vendor's registration information.

After the vendor name "R. R. Bowker Company" was entered, the system prompted the user for VENDOR CATEGORY. The user input a question mark, and the system displayed the two vendor categories which were defined to the system.

```
------------------------------------------------------------------
SERIALS CONTROL SUBSYSTEM
VENDOR REGISTRATION

VENDOR NAME: R. R. Bowker Company
VENDOR CATEGORY:  Publisher
STATUS:  Active/__
ORGANIZATION LEVEL:
SMALL BUSINESS INDICATOR:  NO
CONTACT PERSON:
EDITORIAL ADDRESS:
EDITORIAL CITY:
EDITORIAL STATE:
EDITORIAL ZIP:
EDITORIAL TELEPHONE:
BUSINESS ADDRESS:
BUSINESS CITY:
BUSINESS STATE:
BUSINESS ZIP:
BUSINESS TELEPHONE:

------------------------------------------------------------------
```

The previous screen illustrates that the system has displayed all of the question prompts for the Publisher category. The Status, Organization Level, and Small Business Indicator questions are required questions and are therefore listed before the other questions. At the Status prompt, the user must choose one of the dictionary entries (Active, Inactive, Out of Business) defined in the Vendor Question Definition Module. The vendor's status is vital to the system in that it determines whether or not ILS users may place subscription orders with the vendor. The Organization Level is a free-text data element which helps Serials Control Subsystem users to distinguish among vendors with the same name. An input to this question might be "Eastern Division" or "Primary Order Source", etc. The Small Indicator must be either "YES" or "NO". This data element is used in subscription ordering. The remaining questions are user-defined, and each question may or may not be required. For example, in the previous screen the library staff created two sets of address questions--one for editorial correspondence, the other for subscription inquiry.

When the user has responded to each question the system will prompt "FILE VENDOR? " and the user will respond with YES or NO.

A Vendor Delete function will allow users to delete vendors from the database who have no outstanding business with the library in any capacity--acquisitions, property management, or serials.

VENDOR PARAMETERS

Once a new vendor has been registered in the Vendor Registration function, the system will immediately transfer the user to the Vendor Parameter/Status function for the input of default parameters.

SERIALS CONTROL SUBSYSTEM
VENDOR PARAMETER/STATUS

Edit Which Field?

ADDITION OF VENDOR PARAMETER INFORMATION FOR
R. R. BOWKER COMPANY

1) CLAIM PER.-1ST ISSUE:	7) MAX. DOLLAR AMT.:
2) SUBSEQ. CLAIM PER.:	8) MIN. DOLLAR AMT.:
3) # CLAIMS:	9) MAX. # SUBS.:
4) CLAIM FORM:	10) MIN. # SUBS.:
5) CANCEL. INTERVAL:	11) ORDER FORM:
6) SHIPMENT CODE:	

The following information describes each question in more detail:

1) CLAIM PER.-1ST ISSUE: The Claim Period for First Issue Receipt will indicate the period of time the system should wait before the claim process should be started in the case that the library has never received the first issue of a new subscription.

2) SUBSEQ. CLAIM PER.: The Subsequent Claim Period will indicate the period of time the system should wait before the claim process is started for any issue other than the first of a subscription. This data element will usually be shorter than that for Claim Period for First Issue Receipt, as it takes longer for a new subscription to begin than it does for subsequent issues to arrive.

3) # CLAIMS: Number of Claims will contain the maximum number of claims the system should generate for an issue.

4) CLAIM FORM: Claim Form will allow the user to indicate whether this vendor's claims should be made in writing or if a telephone call will suffice.

5) CANCEL. INTERVAL: Cancellation Interval indicates the length of time after the Claim Period for First Issue Receipt has passed before the system isues a cancellation notice for the subscription.

6) SHIPMENT CODE: The Default Shipment Code will allow the user to indicatea mode of shipment from the system dictionary of shipment codes. The user may also enter a new shipment code to the dictionary at this prompt.

7) MAX. DOLLAR AMT.: The Maximum Dollar Amount will indicate the monetary ceiling for any order to this vendor.

8) MIN. DOLLAR AMT.: The Minimum Dollar Amount will indicate the minimum monetary amount for an order to this vendor.

9) MAX. # SUBS.: The Maximum Number of Subscriptions will reflect the limit of subscriptions which may be placed on one order to this vendor.

10) MIN. # SUBS.: The Minimum Number of Subscriptions will reflect the lowest number of subscriptions which may be placed on one order.

11) ORDER FORM: The Type of Order Form will allow the user to select the preferred order form for this vendor from the system dictionary.

VENDOR PERFORMANCE STATISTICS

Once a vendor has become active in the system, the user may also access the Vendor Parameter/Status function to obtain a statistical report of the vendor's performance.

```
SERIALS CONTROL SUBSYSTEM
VENDOR PARAMETER/STATUS

VENDOR: ?


        Enter One of the Following:
        ---------------------------
        Vendor Name (Full or Partial)
        Vendor ID (VE)
        /VE to Register a Vendor
```

The previous screen indicates that the user has entered a question mark at the "VENDOR: " prompt. The system has responded that the user may enter either a full or partial vendor name, an internal vendor ID (VE), or may "slash" to the Vendor Registration function to enter a vendor who is new to the system. The following screen illustrates how a user may access the vendor's performance statistics.

```
SERIALS CONTROL SUBSYSTEM
VENDOR PARAMETER/STATUS

VENDOR:  R. R. Bowker Company

ACCESS P)ARAMETER OR S)TATUS DATA?  S
```

The status report will appear as follows:

```
SERIALS CONTROL SUBSYSTEM
VENDOR PARAMETER/STATUS

                Vendor Status Information for
              R. R. Bowker Company--May 1, 1984

The following statistics reflect activity from  MM/YY/DD

Total # P.O.'s: . . . . . 25          No. Outstanding:  2
Last P.O. #:  . . . MDA-PO-10098          Date:  09/27/84
Total # P.O. Amends.: . . . . 1       No. Outstanding:  0
Last P.O. Amend.: MDA-PO-10047-A          Date:  09/21/83
No. of Non-Serial Claims:  . . 1      No. Filled: . . .10
No. of Backorders: . . . . . 0
No. of Returned Items: . . . . 2
No. of Damaged Serial Issues:  0
No. of Subscriptions:  . . . .39

Average Days from Order to Receipt of First Copy: . . . . . .20
Average Difference Betwen Encumbered and Actual Price:  . +$10.00

PRESS <RETURN> TO CONTINUE
```

The Vendor Status Report includes both serial and acquisitional performance information as both subsystems will share the Vendor Parameter/Status function. A description of each element of the report follows:

TOTAL # OF P.O.'S: This data element will contain the number of purchase orders sent to this vendor from the start of the statistical recording period to the time of the compilation of the report.

NO. OUTSTANDING: Will contain the count of purchase orders which have not yet been filled by this vendor.

LAST P.O. #: The library-assigned number of the last purchase order which was sent to this vendor.

DATE: The date of the last purchase order sent to this vendor.

TOTAL # P.O. AMENDS.: This data element will contain the number of amendments (additions/changes) to purchase orders which were sent to this vendor from the start of the statistical recording period to the time of the compilation of the report.

NO. OUTSTANDING: Will contain the count of purchase order amendments which have not yet been filled by this vendor.

LAST P.O. AMEND.: The library-assigned number of the last purchase order amendment which was sent to this vendor.

DATE: The date of the last purchase order amendment sent to this vendor.

NO. OF NON-SERIAL CLAIMS: Will contain the number of claims sent to this vendor for items other than serial issues.

NO. FILLED: Will contain the number of non-serial claims which were filled by this vendor.

NO. OF BACKORDERS: This data element will reflect the number of items which were ordered from this vendor, but which cannot be forwarded to the library in the near future because of a temporary stock depletion.

NO. OF RETURNED ITEMS: This data eleent will contain the number of non-serial items which had to be returned to this vendor due to shipping errors, item damage, etc.

NO. OF DAMAGED SERIAL ISSUES: Will contain the number of serial issues the library has received from this vendor which were in unsatisfactory condition.

NO. OF SUBSCRIPTIONS: Will contain the number of serial subscriptions supplied to the library by this vendor.

AVERAGE DAYS FROM ORDER TO RECEIPT OF FIRST COPY: Will contain the average number of days it takes this vendor to deliver the first issue of a new subscription.

AVERAGE DIFFERENCE BETWEEN ENCUMBERED AND ACTUAL PRICE: Will contain the positive or negative U.S. currency amount reflecting the discrepancy between how much the library budgeted for each item or subscription and the actual amount paid.

The user will not be able to add to, edit, or delete from the data presented on the Vendor Status Report. It is intended to serve as a vendor performance measurement tool which will enable the library staff to evaluate the system-compiled statistics for each vendor's service to the library.

CAS SCREENS

The following pages illustrate our proposed designs for new serials card images and holdings displays for CAS. The current CAS screens for serial records need to be enhanced to accommodate flexible enumeration patterns, consolidated holdings statements, display of several different formats per title, and browsing issue data in more detail. Each page lists a screen and an explanation of the new display. Alternatives are listed where our designs are not finalized.

Z178.T45

Association of Obsessed Catalogers
Bator, Eileen Q.

Title analysis / [sponsored by the] Association of Obsessed Catalogers and edited by Eileen Q. Bator.
Washington : Pentagon Press.
v. 1 - 1982 -

Cataloging - Title analytics.

HOLDINGS:

HARDCOPY: VOL. 1 - 3 ; 1982 - 1984

For more detailed holdings (and missing issues), press H for information.
To search a specific issue, press N for number or D for date prompt.
Press /ES to start a new search, or RETURN for the next record.

CHOICE:

Some serials, when defined in Holdings Add/Edit, will have an indicator which specifies to the librarian that each individually received issue must be analyzed bibliographically. For open entries which are checked-in as well as analyzed, the patron must be provided with access to both the serial record and the individual title records. Ideally, both should be linked. The above screen will be used as the first screen for the serial record. It has no indication that any issue is analyzed, but it does include the consolidated holdings statement of volumes held. The user presses 'H' to see the detail on each volume.

Z178.T45

Title analysis.

REF	VOL	DATE	FORMAT	STATUS
R1	1	1982	HARDCOPY	NOT AVAILABLE
R2	2	1983	HARDCOPY	NOT AVAILABLE
R3	3	1984	HARDCOPY	AVAILABLE

For copy-specific bibliographic data, select a REF number.
Press /ES to start a new search, or RETURN for the next record.

CHOICE:

This is the second screen in CAS for a serial record which is analyzed. If the user chose the 'H' option on the previous screen, s/he will see a list of volumes checked in. Note that each volume has a reference or index number assigned to it. If, at this point, the user wishes to see the analytic entry for any given volume, s/he requests the 'R' number of that volume to see the individual bibliographic record. Note, also, that each volume's circulation status is displayed only as "AVAILABLE" or "NOT AVAILABLE." Since this is a volume screen and not a copy-specific screen, circulation data is not available at the detailed level (On Loan, Due 6/6/84, etc.). At this point, the user can only be told if at least one copy is available; if no copy is available at all, the "NOT AVAILABLE" status displays.

Z178.T45 Vol. 1 1982

Association of Obsessed Catalogers
Bator, Eileen Q.

Automated library systems and title analysis: is our job any easier? / sponsored by the Association of Obsessed Catalogers and edited by Eileen Q. Bator.
Washington : Pentagon Press, 1982.

Title analysis ; vol. 1.
Automation - Libraries.
Cataloging - Title analytics.

CIRCULATION STATUS:

COPY #:	1	Checked Out	DUE DATE:	06/10/84
COPY #:	2	Checked Out	DUE DATE:	07/01/84

Press <RETURN> to display next item, or
Press /AU for author, /TI for title, /SU for subject, /KW for keyword search

CHOICE:

Finally, if the user requested to see volume one's analytic record, by pressing '1' at the prompt on the previous screen, the system displays the familiar bibliographic card image for the analyzed title.

PERIODICALS

Library Technology Reports.
Chicago: American Library Association.
v. 12 - Jan. 1976 -
Library retains last 10 years only.

Libraries - Periodicals.
Information science - Periodicals.

HOLDINGS:

HARDCOPY:	VOL. 20 NO. 1 - VOL. 20 NO. 6	1984
BOUND:	VOL. 18 NO. 1 - VOL. 19 NO. 12	1982 - 1983
MICROFILM:	VOL. 10 NO. 1 - VOL. 17 NO. 12	1974 - 1981

For more detailed holdings (and missing issues), press H for information.
To search a specific issue, press N for number or D for date prompt.
Press /ES to start a new search, or RETURN for the next record.

CHOICE:

The new serials control subsystem will include a different series of CAS screens for serial titles. The above screen is the first screen a user will access when viewing data for a specific serial. The screen includes the usual card image, which will not be modified for the new subsystem. However, in place of the VIPS/Circulation Status at the bottom of the screen, the new subsystem will include Consolidated Holdings Statements at the bottom of the first serial screen. There will be one consolidated holding statement for each format, maintained in a local MARC tag and automatically updated with the newest checked-in issue data. The consolidated holding statement will be built with abbreviated enumeration captions, and will list the first and latest issues received in check-in. Missing items, gaps in the holdings, and claims will not be displayed in this generalized statement. For such detail, the user will press 'H' at the prompt to see specific holdings data.

For sites electing not to use serials check-in, the consolidated holdings statement will not appear on the first screen. These sites should add general holdings information to the card image, such as the 362 and the 590 notes appearing in the above screen.

PERIODICALS

Library Technology Reports.
Chicago: American Library Association.
v. 10 - Jan. 1974 -
Library retains last 10 years only.

Libraries - Periodicals.
Information science - Periodicals.

HOLDINGS:

HARDCOPY:	VOL. 20 NO. 1 - VOL. 20 NO. 6	1984
BOUND:	VOL. 18 NO. 1 - VOL. 19 NO. 12	1982 - 1983
MICROFILM:	VOL. 10 NO. 1 - VOL. 17 NO. 12	1974 - 1981

For more detailed holdings (and missing issues), press H for information.
To search a specific issue, press N for number or D for date prompt.
Press /ES to start a new search, or RETURN for the next record.

CHOICE: N VOLUME: 13 NUMBER: 2

The new serials control subsystem will retain the individual issue search capability from the old subsystem, allowing the user to search for a specific issue either by date or number. If the user requested a search by number, s/he enters a 'N' at the CHOICE prompt. The system then prompts for each level of enumeration, starting at the first, or highest level. The user is prompted by the captions assigned in Holdings Add/Edit. The screen is not erased while this search proceeds, retaining the general serial information for the user. As soon as the patron has entered all possible enumeration information, or enters a RETURN to indicate no further data is known, the system then displays the issue data if it is found.

PERIODICALS

Library Technology Reports.
Chicago: American Library Association.
v. 12 - Jan. 1976 -
Library retains last 10 years only.

Libraries - Periodicals.
Information science - Periodicals.

HOLDINGS:

HARDCOPY:	VOL. 20 NO. 1 - VOL. 20 NO. 6	1984
BOUND:	VOL. 18 NO. 1 - VOL. 19 NO. 12	1982 - 1983
MICROFILM:	VOL. 10 NO. 1 - VOL. 17 NO. 12	1974 - 1981

VOLUME: 13 NUMBER: 2 CONTAINED IN: VOL. 12-13 1976/77 MICROFILM

Press N for number, D for date, H for holdings, /ES to search.

CHOICE:

The complete holdings data for the issue requested is now displayed for the user (either exact enumeration or a "contained in" statement for issues either bound or accumulated. If more than one copy of the issue is found, multiple holdings lines would display. The user if finally prompted again for choice of action, while the original card image data is still retained on the screen for informational purposes.

PERIODICALS

Library Technology Reports.
Chicago: American Library Association.
v. 12 - Jan. 1976 -
Library retains last 10 years only.

Libraries - Periodicals.
Information science - Periodicals.

HOLDINGS:

HARDCOPY:	VOL. 20 NO. 1 - VOL. 20 NO. 6	1984
BOUND:	VOL. 18 NO. 1 - VOL. 19 NO. 12	1982 - 1983
MICROFILM:	VOL. 10 NO. 1 - VOL. 17 NO. 12	1974 - 1981

For more detailed holdings (and missing issues), press H for information.
To search a specific issue, press N for number or D for date prompt.
Press /ES to start a new search, or RETURN for the next record.

CHOICE: D YEAR: 1982 MONTH: MARCH

Just as a patron may search for a specific issue by enumeration, s/he may also search by date, starting with the highest level of chronology defined in Holdings Add/Edit for that title. The system prompts with the captions defined for each level of chronology. The user may input complete data, or a RETURN to indicate that no further data is known about a particular level of chronology. Note, again, that the original card image is retained on the screen for informational purposes.

PERIODICALS

Library Technology Reports.
Chicago: American Library Association.
v. 12 - Jan. 1976 -
Library retains last 10 years only.

Libraries - Periodicals.
Information science - Periodicals.

HOLDINGS:

HARDCOPY:	VOL. 20 NO. 1 - VOL. 20 NO. 6	1984
BOUND:	VOL. 18 NO. 1 - VOL. 19 NO. 12	1982 - 1983
MICROFILM:	VOL. 10 NO. 1 - VOL. 17 NO. 12	1974 - 1981

YEAR: 1982 MONTH: MAR CONTAINED IN: VOL. 18 1982 BOUND

Press N for number, D for date, H for holdings, /ES to search.

CHOICE:

If the system finds a match for the date searched, the complete holdings data is displayed for each match retrieved. The card image is retained for informational purposes, and the user is again prompted for a choice of action to continue in his/her search.

PERIODICALS

Library Technology Reports.

REF	VOLUME	NUMBER	MONTH	YEAR	FORMAT	STATUS
R1	20	6	JUN	1984	HARDCOPY	AVAILABLE
R2	20	5	MAY	1984	HARDCOPY	AVAILABLE
R3	20	4	APR	1984	HARDCOPY	NOT AVAILABLE
R4	20	3	MAR	1984	HARDCOPY	NOT AVAILABLE
R5	20	2	FEB	1984	HARDCOPY	AVAILABLE
R6	20	1	JAN	1984	HARDCOPY	AVAILABLE
R7	19			1983	BOUND	AVAILABLE
R8	18			1982	BOUND	NOT AVAILABLE
R9	16-17			1980/81	MICROFILM	AVAILABLE
R10	14-15			1978/79	MICROFILM	AVAILABLE
R11	12-13			1976/77	MICROFILM	AVAILABLE
R12	10-11			1974/75	MICROFILM	AVAILABLE

For copy-specific data, select a REF number.
Press /ES to start a new search, or RETURN for the next record.

CHOICE: 4

If, on the first serial screen (the card image), the user requested to see detailed holdings information by pressing 'H' at the CHOICE prompt, this second screen would appear. The holdings data is listed in reverse chronological order, starting with the checked-in subscription copies. Note that all data is presented in a column format, headed with the caption data defined for that title in Holdings Add/Edit. The patron is able to see at a glance the history of receipts and limited availability data. To see more holdings, the user simply hits RETURN to continue. To see more information about a specific issue, the user selects the REF number of that item to see a copy-specific display (next page).

The above formatted screen will be used for serials with up to three levels of enumeration. More extensively defined serials will be displayed on an alternative screen, described below.

Note that the FORMAT displayed in the screen is a site-specific ILS dictionary. Users may define any terminology they desire for formats. Also note that where several copies of an issue exist in different formats (e.g. volume 20 is held in both loose issues and in a microform edition), the two formats will be interleaved on the screen, with the individual issues sorting and displaying before the accumulated edition.

PERIODICALS

Library Technology Reports.

VOLUME	NUMBER	MONTH	YEAR	FORMAT	COPY	STATUS
20	3	MAR	1984	HARDCOPY	1	ON LOAN, DUE 12/12/84
20	3	MAR	1984	HARDCOPY	2	MISSING

Press /ES to start a new search, or RETURN for more holdings.

CHOICE:

This is the last screen a user will get to in a serials search, displaying copy-specific data (copy number, circulation status, and location if locations are present in the item record). If this had been an analytic record, bibliographic data for the title would have appeared (see earlier screens). If the user RETURN's at this point, the system will resume displaying detailed holdings from the previous screen.

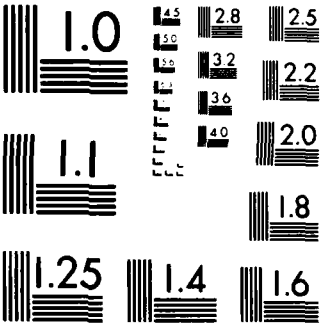
```
PERIODICALS

Library Technology Reports.

PAPER SUBSCRIPTION:
REF  VOL      NO    MONTH  YEAR       STATUS
-------------------------------------------------------------------
R1    20       6      JUN  1984       AVAILABLE
R2    20       5      MAY  1984       AVAILABLE
R3    20       4      APR  1984       NOT AVAILABLE
R4    20       3      MAR  1984       NOT AVAILABLE
R5    20       2      FEB  1984       AVAILABLE
R6    20       1      JAN  1984       AVAILABLE

For copy-specific data, select a REF number.
Press /ES to start a new search, or RETURN for the next record.

CHOICE:
```

An alternative to the previous holdings display is the above example, where when the user requests a second screen of data by entering an 'H' on the card image screen, the second screen displayed only shows the current subscription data. Other formats (bound, microfilm) are displayed on separate screens which are formatted for their particular enumerations and captions. This obviously requires the user to enter more keystrokes to page through all the holdings, and in the process s/he may miss vital data. But it does provide a more readable screen.

Note, again, that formats are user-definable, and would display terminology which was defined in holdings add/edit for that title.

AD-A149 379 THE INTEGRATED LIBRARY SYSTEM DESIGN CONCEPTS FOR A COMPLETE SERIALS CONTROL SUBSYSTEM(U) ONLINE COMPUTER SYSTEMS INC GERMANTOWN MD 20 AUG 84 MDA903-82-C-0535 2/2

UNCLASSIFIED F/G 5/2 NL



PERIODICALS

Library Technology Reports.

BOUND COPIES:

REF	VOL	YEAR	STATUS
R1	19	1983	AVAILABLE
R2	18	1982	ON LOAN, DUE 6/29/84

MICROFILM:

REF	VOLS	YEARS	STATUS
R3	16-17	1980-1981	AVAILABLE
R4	14-15	1978-1979	AVAILABLE
R5	12-13	1976-1977	AVAILABLE
R6	10-11	1974-1975	AVAILABLE

For copy-specific data, select a REF number.
Press /ES to start a new search, or RETURN for the next record.

CHOICE:

This is the third screen of holdings data for a three-format serial record. If the format being displayed requires more than one screen for display, a simple RETURN will retrieve the next screen. If this is the end of the microfilm holdings, the system will, upon entry of a RETURN, display the next defined format or will display the next bibliographic record in the patron's search.

PERIODICALS

Journal of ambitious enumeration schemes.
New York: Convoluted Publishers, Inc.
v. 1 - Jan. 1, 1980 -

Libraries - Periodicals.
Information science - Periodicals.

HOLDINGS:

HARDCOPY: VOL. 1 SEC. 1 PT. 1 NO. 1 ISS. 1, PIECE A, 01/01/80 -
VOL. 5 SEC. 2 PT. 1 NO. 5 ISS. 15, PIECE B, 05/15/84

For more detailed holdings (and missing issues), press H for information.
To search a specific issue, press N for number or D for date prompt.
Press /ES to start a new search, or RETURN for the next record.

CHOICE:

For serials with four or more levels of enumeration, the consolidated holdings statement for each format will span two lines. The first line will enumerate the first issue held, the second line will list the latest issue received. This format will assure enough space for unusual numbering schemes.

PERIODICALS

Journal of ambitious enumeration schemes.

REF	VOL	SEC	PT	NO	ISS	PIECE	DATE	FORMAT	STATUS
R1	1	1	1	1	1	A	01/01/80	HARDCOPY	AVAILABLE
R2	1	1	1	1	2	A	01/02/80	HARDCOPY	NOT AVAILABLE
R3	1	1	1	1	3	A	01/03/80	HARDCOPY	NOT AVAILABLE
R4	4	2	2	12	31	A	12/31/84	HARDCOPY	AVAILABLE

For copy-specific data, select a REF number.
Press /ES to start a new search, or RETURN for the next record.

CHOICE:

For serials with four or more levels of enumeration, the holdings screen will be formatted to allow only 5 spaces for each enumeration level, and one date column for a MM/DD/YY format. The format for the holdings will be listed above the tabulated information to conserve space as well. Any data longer than the allocated space will be truncated.

MISCELLANEOUS OUTPUTS

There will be other reports and notices which should be supplied with a complete serials control subsystem which may not be programmed during initial implementation. Those outputs should be specified, however, to assure data comprehensiveness. As such outputs are identified, they will be specified with Pentagon librarians.

The following two outputs are not part of a specific serials function, but should be considered in the integrated system. The first, the serials holdings list, will be programmed if time and budget permit, to replace the Pentagon's journal listing. The second, the Item Status function display, must be upgraded to accommodate the new serials data.

SERIALS HOLDINGS LIST

This printed listing should be generated for distribution to reading rooms, departments, or patrons to list current serial subscriptions and holdings. The list will be sorted by serial title and will list the following data for each title:

Title
Consolidated holdings statement (or 362 field)
Format type
Location (if present in item records)
Publisher
Frequency
Current status of subscription

ITEM STATUS REPORT

The present Item Status function (IS) must be modified to display issue enumeration and chronology for the new serials holdings records. Pentagon librarians will be consulted to specify a suitable format and pleasing display.

LINKS TO THE ACQUISITIONS SUBSYSTEM

One of the major links between the Serials Control Subsystem and the Acquisitions Subsystem will be the processing of vendor information for discounts, coupons, and order placement. The input of this information will be accomplished through three special sections of the Vendor Parameter/Status function.

SERIALS CONTROL SUBSYSTEM
VENDOR PARAMETER/STATUS

Addition of Vendor Parameter Information for
R. R. Bowker Company

Do you wish to enter C)oupon Data, D)iscount Data,
or G)roup Vendor Data? __

At this point the user should enter a "C", "D", or "G", or an ILS travel command. If the user enters a "C" for Coupon Data, the following screen will be displayed:

SERIALS CONTROL SUBSYSTEM SCREEN 1
VENDOR PARAMETER/STATUS

Edit Which One? __

Addition of Coupon Information for
R. R. Bowker Company

	VALUE	NO. OF COUPONS
1)		
2)		
3)		
4)		
5)		
6)		
7)		
8)		
9)		
10)		

The user will be able to enter up to 30 different coupon values, with ten values on each of three screens. For example, the user may have three $1 coupons, two $5 coupons, and one $10 coupon wich could be entered as follows:

	VALUE	NO. OF COUPONS
1)	1.00	3
2)	5.00	2
3)	10.00	1

There will be no requirement for the user to enter the coupons in either value or number order, nor will the user be required to group all of the same coupon value amounts in one display line. To illustrate, the user may enter the next line as:

4)	5.00	1

This extra information would be compiled with the other $5 value information after filing. Upon redisplay, the information would appear in value order from highest to lowest:

	VALUE	NO. OF COUPONS
1)	10.00	1
2)	5.00	3
3)	1.00	3
4)		
5)		
6)		
7)		
8)		
9)		
10)		

All of the value amounts must be entered in U.S. currency format and will be stored internally in U.S. cents for processing efficiency.

Once the user indicates that the coupon data should be filed, the system will return to the prompt, "Do you wish to enter C)oupon Data, D)iscount Data, or G)roup Vendor Data?". If the user enters "D" to input vendor Discount Data, the following screen will be displayed:

SERIALS CONTROL SUBSYSTEM SCREEN 1
VENDOR PARAMETER/STATUS

Edit Which One?__

Addition of Discount Information for
R. R. Bowker Company

THRESHOLD RANGE	% OR $	DISCOUNT
1)		
2)		
3)		
4)		
5)		
6)		
7)		
8)		
9)		
10)		

The user will be able to enter up to 20 different discount threshold ranges, with ten ranges on each of two screens. For example, the user may know that if the library places an order with a value between $100 and $199.99, the vendor will give a ten perent discount on the order. Therefore, on the first line the user will enter "100.00-199.99" under the "THRESHOLD RANGE" column, a "%" under the "% OR $" column, to indicate that the discount is a percentage of the total, and "10" under the "DISCOUNT" column to indicate that the discount is ten percent.

There will be no requirement for the user to enter the discount information in any specific order. However, the system will give an error message should the user enter conflicting or overlapping discount information. Whenver the discount information is retrieved by a user, it will be displayed in threshold order from lowest to highest:

	THRESHOLD RANGE	% OR $	DISCOUNT
1)	.00-100.00	%	0
2)	100.00-199.99	%	10
3)	200.00-299.99	%	11
4)	300.00-399.99	%	12
5)	400.00-499.99	%	13
6)	500.00+	$	100
7)			
8)			
9)			
10)			

Once the user indicates that the discount data should be filed, the system will return to the prompt, "Do you wish to enter C)oupon Data, D)iscount Data, or G)roup Vendor Data?". If the user enters "G" to input Group Vendor Data, the following screen will be displayed:

SERIALS CONTROL SUBSYSTEM SCREEN 1
VENDOR PARAMETER/STATUS

VENDOR: ?

Addition of Group Vendor Information for
R. R. Bowker Company

1)
2)
3)
4)
5)
6)
7)
8)
9)
10)

At the "VENDOR: " prompt in the previous screen, the user may enter a variety of conventions: a full or partial vendor name, a vendor ID, or a special symbol plus a leter of the alphabet to list the vendor names which begin with the letter entered by the user. By using any of these conventions the user can create a subset of up to 30 vendors, 10 on each of three screens, who can handle this vendor's inventory. From this subset, the user may indicate who serves as this vendor's Primary Group Vendor and Secondary Group Vendor.

If, for example, the library has indicated that five different vendors are able to serve as a group vendor to this vendor, the following screen would appear:

```
---------------------------------------------------------------
SERIALS CONTROL SUBSYSTEM                              SCREEN 1
VENDOR PARAMETER/STATUS

                    VENDOR: <Carriage Return>

             Addition of Group Vendor Information for
                      R. R. Bowker Company

 1) (1st Vendor ID) Vendor Name
 2) (2nd Vendor ID) Vendor Name
 3) (3rd Vendor ID) Vendor Name
 4) (4th Vendor ID) Vendor Name
 5) (5th Vendor ID) Vendor Name
 6)
 7)
 8)
 9)
10)

                         FILE?  YES
                  PRIMARY GROUP VENDOR? 4
                  SECONDARY GROUP VENDOR? 2

---------------------------------------------------------------
```

The previous screen indicates that the user has entered five group vendors and then a carriage return at the "VENDOR: " prompt. The user then entered "YES" at the "FILE? " prompt. The system prompted for the user to enter the index number of one of the defined group vendors who would serve as this vendor's Primary Group Vendor (i.e., the default group vendor to use when ordering this vendor's material). The system next prompted the user to enter the index number of one of the group vendors other than the Primary Group Vendor to serve as the Secondary Group Vendor (i.e., the default group vendor to use when the Primary Group Vendor cannot be used due to a status of "Inactive", etc.).

END

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